



# FIRST THINGS FIRST

*Ready for School. Set for Life.*

azftf.gov

**Arizona Early Childhood Development and Health Board  
4000 North Central, Suite 800  
Phoenix, Arizona 85012**

**First Things First Scholarships**

**Request for Grant Application (RFGA)  
FTF-STATE-14-0440-00**

<b>Deadline</b>	Grant Applications shall be submitted on or before 10:00 a.m. (Arizona MST) on March 15, 2013 at First Things First, 4000 North Central Avenue, Suite 800, Phoenix, Arizona 85012.
<b>Procurement Guidelines</b>	<p>In accordance with A.R.S §41-2701, competitive sealed grant Applications for the services specified within this document will be received by First Things First at the above-specified location until the time and date cited. Grant Applications received by the correct time and date will be opened and the name of each Applicant will be publicly read.</p> <p><b>Grant Applications must be in the actual possession of First Things First on or prior to the exact time and date indicated above. Telefaxed, electronic, or late grant Applications <u>shall not</u> be considered.</b></p> <p><b>Grant Applications must be submitted in a sealed envelope with the RFGA Number and the Applicant's name and address clearly indicated on the envelope.</b></p> <p>All Applications must be typewritten and a complete grant Application returned along with the offer by the time and date cited above. <b>Additional instructions for preparing a grant Application are included within this document.</b></p> <p>Applicants are strongly encouraged to read the entire Request for Grant Application document carefully.</p> <p><b>It is the sole responsibility of Applicants to check the First Things First website for any changes to this RFGA, <a href="http://azftf.gov">http://azftf.gov</a>.</b></p>
<b>Pre-Application Conference</b>	Prospective Applicants are encouraged to attend a Pre-Application Conference on February 13, 2013 at 1:00 p.m. at First Things First, 4000 N. Central Ave., Suite 800, 8 <sup>th</sup> Floor Board Room in Phoenix, Arizona. The purpose of the meeting is to discuss and clarify this Request for Grant Application.
<b>Special Accommodations</b>	Persons with a disability may request reasonable accommodation such as a sign language interpreter by contacting the Fiscal and Contracts Specialist at <a href="mailto:grants@azftf.gov">grants@azftf.gov</a> or via Fax (602) 265-0009. Requests should be made as early as possible to allow time to arrange the accommodation.
<b>Contract Information</b>	<p><u>Service</u>: First Things First Regional Funding</p> <p><u>Contract Type</u>: Cost Reimbursement</p> <p><u>Contract Term</u>: The effective date of this Contract shall be the date that the First Things First designee signs the Offer and Acceptance form or other official contract form (estimated July 1, 2013) and shall remain in effect until June 30, 2014, unless terminated, cancelled or extended as otherwise provided herein.</p>
<b>Contact Information</b>	<p>Fiscal and Contracts Specialist</p> <p>First Things First</p> <p>Fax: (602) 265-0009</p> <p>Email: <a href="mailto:grants@azftf.gov">grants@azftf.gov</a></p>

## CERTIFICATION

### TO THE STATE OF ARIZONA, ARIZONA EARLY CHILDHOOD DEVELOPMENT AND HEALTH BOARD:

If awarded a grant, the Undersigned hereby agrees to all terms, conditions, requirements and amendments in this request for grant Application and any written exceptions, as accepted by the Arizona Early Childhood Development and Health Board in the Application.

### APPLICANT OFFER

Arizona Transaction (Sales) Privilege Tax License No.: \_\_\_\_\_ Name of Point of Contact Concerning this Application: \_\_\_\_\_

\_\_\_\_\_ Name: \_\_\_\_\_

Federal Employer Identification No.: \_\_\_\_\_ Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

\_\_\_\_\_ E-Mail: \_\_\_\_\_

\_\_\_\_\_  
Name of Applicant \_\_\_\_\_ Signature of Person Authorized to Sign Offer

\_\_\_\_\_  
Address \_\_\_\_\_ Printed Name

\_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_ Title \_\_\_\_\_

By signature in the Offer section above, the Applicant certifies:

1. The submission of the Application did not involve collusion or other anti-competitive practices.
2. The Applicant shall not discriminate against any employee or Applicant for employment in violation of Federal Executive Order 11246, State Executive Order 99-4 or A.R.S. §41-1461 through §1465.
3. The Applicant has not given, offered to give, nor intends to give at any time hereafter any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant in connection with the submitted offer. Failure to provide a valid signature affirming the stipulations required by this clause shall result in rejection of the offer. Signing the offer with a false statement shall void the offer, any resulting contract and may be subject to legal remedies provided by law.

### ACCEPTANCE OF APPLICATION

The Application is hereby accepted. The Applicant is now bound to perform as stated in the Applicant's grant Application as accepted by the Arizona Early Childhood Development and Health Board and the Request for Grant Application document, including all terms, conditions, requirements, amendments, and/or exhibits.

This grant shall henceforth be referred to as Grant No. \_\_\_\_\_

Arizona Early Childhood Development and Health Board,  
 Awarded this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

\_\_\_\_\_  
First Things First Designated Authorizing Official

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## Overview of First Things First

On November 7, 2006, Arizonans made an historic decision on behalf of our state's youngest citizens. By majority vote, they made a commitment to all Arizona children 5 and younger, that children would have the tools they need to arrive at school healthy and ready to succeed. The voters backed that promise with an 80-cent per pack increase on tobacco products to provide dedicated and sustainable funding for early childhood services for our youngest children. The initiative created the statewide First Things First board and the 31 regional partnership councils that share the responsibility of ensuring that these early childhood funds are spent on strategies that will result in improved education and health outcomes for kids 5 and younger.

First Things First is designed to meet the diverse needs of Arizona communities. The regional councils are comprised of community volunteers, with each member representing a specific segment of the community that has a role in ensuring that Arizona's children grow up to be ready for school, set for life: parents, leaders of faith communities, tribal representatives, educators, health professionals, business leaders, and philanthropists.

### ***First Things First Strategic Direction***

FTF's commitment to young children means more than simply funding programs and services. It means having a shared vision about what being prepared for kindergarten actually means. First Things First specifies that programs and services funded by the FTF Board and Regional Partnership Councils are to address one or more of the following Goal Areas as defined by the statute:

- Improve the quality of early childhood development and health programs.
- Increase the access to quality early childhood development and health programs.
- Increase access to preventive health care and health screenings for children through age five.
- Offer parent and family support and education concerning early childhood development and literacy.
- Provide professional development and training for early childhood development and health providers.
- Increase coordination of early childhood development and health programs and provide public information about the importance of early childhood development and health.

The FTF Board established a strategic framework with a set of school readiness indicators that provide a comprehensive composite measure to show whether young children are ready for success as they prepare to enter kindergarten. The strategies funded by FTF work collectively to develop a comprehensive system across the state and regionally to address the school readiness indicators. The FTF Board and Regional Partnership Councils determine the priorities and strategies to be funded across the state and throughout the regions assessing the challenges and building on the resources and assets in place.

## **School Readiness Indicators**

1. #/% children demonstrating school readiness at kindergarten entry in the development domains of social-emotional, language and literacy, cognitive and motor and physical.
2. #/% of children enrolled in an early care and education program with a Quality First rating of 3-5 stars.
3. #/% of children with special needs enrolled in an inclusive early care and education program with a Quality First rating of 3-5 stars.
4. #/% of families that spend no more than 10% of the regional median family income on quality care and education with a Quality First rating of 3-5 stars.
5. % of children with newly identified developmental delays during the kindergarten year.
6. #/% of children entering kindergarten exiting preschool special education to regular education.
7. #/% of children ages 2-4 at a healthy weight (Body Mass Index-BMI).
8. #/% of children receiving at least six well child visits within the first 15 months of life.
9. #/% of children age 5 with untreated tooth decay.
10. % of families who report they are competent and confident about their ability to support their child's safety, health and wellbeing.

## **What is the Funding Source?**

First Things First provides for distribution of funding through both statewide and regional grants. Statewide programs are considered those implemented across regional boundaries and are designed to benefit Arizona's children as a whole. Regional funding is based on the approval of the Regional Partnership Council funding plans submitted to the FTF Board each year. This Request for Grant Application (RFGA) uses regional funding for implementation of the statewide strategy Quality First Coaching and Incentives.

## **Who is Eligible to Apply for this Funding Opportunity?**

First Things First awards grants to:

- Non-profit 501 (c) (3) organizations providing services in Arizona (both secular and faith-based)
- Units of Arizona government (local, county and state entities as well as schools and school districts)
- Federally recognized Tribal governments or entities providing services within Arizona
- Arizona institutions of higher learning (colleges and universities)
- Private organizations providing services in Arizona

All potential Applicants must demonstrate organizational, fiscal and programmatic capacity to meet the requirements described in the scope of work listed in this RFGA.

## **What is the Total Funding Amount Available in this Request for Grant Application?**

This is a twelve (12) month contract for the fiscal year ending June 30, 2014, with an option to renew for one additional 12 month period. First Things First intends to release a new RFGA for FY15 to include anticipated model changes. Total funds available are approximately \$54,267,426.00 for the first funding period. First Things First reserves the right not to award the entire amount of available funds or to award an amount that is greater than the posted available funds. Renewal will be contingent upon satisfactory contract performance, evaluation, availability of funds and decisions regarding model changes. First Things First intends to make one statewide award for this RFGA; however, First Things First reserves the right to award multiple awards dependent on the quality and rationale in the proposals submitted providing justification for multiple awards which clearly provide seamless and consistent services in a statewide, fully accountable model.

## **Scope of Work: What Strategy Will This Grant Fund and How Will It Make a Difference for Children?**

### **Statement of Need**

First Things First has identified a need to provide access to quality early care and education for Arizona children ages birth through five, not yet in kindergarten, through two scholarship strategies known as Quality First Child Care Scholarships and Pre-Kindergarten Scholarships. Access to quality programs has long been denied to children whose parents cannot pay the cost of a quality program and who do not qualify or cannot access programs funded through federal or state budgets. Currently, 48% of Arizona's children under the age of 6 reside in families with incomes at or below 200% of the Federal Poverty Level.<sup>1</sup> Without sufficient resources, low-income families often lack the opportunity to choose higher quality early care and education options for their children compared with their more affluent counterparts.

Every young child in Arizona should have equal opportunity for high-quality early care and education, which promotes their social, emotional, cognitive and physical development. Neuroscientists, economists and educators are aligned in identifying that early care and education beginning at birth is an investment that pays dividends as children enter kindergarten and move through the early elementary grades, transition to college and career, and become adult citizens in their community. Early care and education may take place in the family home environment, in informal family, friend and neighbor community settings, and in more formalized programs provided in centers, schools and home-based settings. Families that choose early care and education programs for their children do so for a variety of reasons, and should have options for programs that are high quality; provide choices for part-day or full-day,

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<sup>1</sup> National Center for Children in Poverty. (2010). Available at: [http://nccp.org/profiles/AZ\\_profile\\_6.html](http://nccp.org/profiles/AZ_profile_6.html)

part-year or full-year; available where families live and work; and, are affordable and within reach of family budgets.

First Things First unequivocally recognizes quality, access and affordability as the essential elements of an early care and education system. Quality, access and affordability are inextricably linked: the combination of all three must be included in a comprehensive model that offers access for families to affordable, programs that provide quality early childhood experiences for their young children.

Child care scholarships have proven to be an effective tool in Arizona to help families access affordable, quality early care and education. Scholarships ensure a stable, safe and quality experience for young children, and provide more sustainable funding as part of a comprehensive financing model for the early care and education system.

### **Strategy Overview**

First Things First envisions a comprehensive early care and education system that addresses quality, accessibility and affordability. High quality is promoted and assessed by Quality First, First Things First's signature quality improvement and rating system for regulated early care and education settings. There are two types of participation in Quality First: Full Participation, and; Rating Only. Programs in full participation are eligible for a variety of services including coaching, assessment, financial incentives, Quality First Child Care Scholarships, child care health consultation, Birth to Five Helpline and TEACH Early Childhood Arizona® Scholarships. Programs in rating only participation are eligible for only coaching and assessment.

High quality programs must be both accessible to all children and affordable for families of every income level. Quality First Child Care Scholarships and Pre-Kindergarten Scholarships promote affordability of a variety of quality early care and education settings, offering families the ability to choose the setting that best meets their needs. Additionally, quality early and education must be accessible to families where they live and work, and to children of all abilities and needs. It is the intent of First Things First to ensure that all early care and education programs actively include children with special needs.

The Quality First model ties financing and quality through Quality First Child Care Scholarships and Pre-Kindergarten Scholarships. Both scholarship strategies are intended to provide access to high quality early care and education services for children who live in households that have an income of 200% of poverty level or below of the most recently published Health and Human Services Federal Poverty Guidelines unless otherwise determined by a specific region.

First Things First is seeking a successful applicant to provide administrative and programmatic oversight in the timely, accurate distribution of Quality First Child Care Scholarships and Pre-Kindergarten Scholarships, with exemplary customer service and quality assurance components.



## **Quality First Child Care Scholarships**

Quality First Child Care Scholarships are payments made to an early care and education provider, either child care center or family child care home, for the full or partial cost of care. Quality First Child Care Scholarships are only available to programs enrolled in Full Participation Quality First, Arizona's Quality Improvement and Rating System. Programs enrolled in Rating Only Quality First are not eligible for Quality First Child Care Scholarships. First Things First will designate the programs. The following regions are funding Quality First Child Care Scholarships in Fiscal Year 2014:

1. Central Maricopa
2. Central Phoenix
3. Central Pima
4. Cochise
5. Coconino
6. Colorado River Indian Tribes
7. Gila
8. Gila River Indian Community
9. Graham/Greenlee
10. LaPaz/Mohave
11. Navajo Nation
12. Navajo/Apache
13. North Phoenix
14. North Pima
15. Northeast Maricopa
16. Northwest Maricopa
17. Pascua Yaqui Tribe
18. Pinal
19. Santa Cruz
20. South Phoenix
21. South Pima
22. Southeast Maricopa
23. Southwest Maricopa
24. White Mountain Apache Tribe
25. Yavapai
26. Yuma

The number of scholarships and amount of funding is based upon the program's size and Quality First star rating. As early care and education programs increase their Quality First star rating, more financing will be available in number and rate of reimbursement of child care scholarships as quality increases the cost of providing early care and education services.

Additional detail about the Quality First Child Care Scholarship strategy can be found in Exhibits A and C, Strategy Summary – Quality First Child Care Scholarships and Standard of Practice – Quality First Child Care Scholarships, respectively.

Some regions have funded additional child care scholarships, beyond the amount determined available based on the provider size and Quality First rating. The intent of the additional scholarships is to maintain as many FY2013 funded children as possible (prioritized by the highest star rated programs first), unless otherwise noted. Exhibit G, Quality First Child Care Scholarship Allotment by Region includes details for regions that have specified further requirements for additional scholarships. This information is noted in the column titled, Special Considerations.

Special considerations for the use of scholarships include scholarships for Navajo Nation residents that are temporarily residing off the Navajo Nation and Teen parents.

- Navajo Nation Off Reservation Scholarships have the following implementation requirements:
  - Eligible families must maintain a permanent residence on the Navajo Nation;
  - Family eligibility is determined by the successful applicant;
  - The rate of reimbursement is calculated in the same manner as QF Child Care Scholarships;
    - Rate is determined by the star rating and size of program that has been chosen by the family, and
    - Rate is determined by the DES Market Rate for the region that the program is located
  - The family must attend a program that is enrolled in Quality First.
- Teen Parent Scholarships have the following implementation requirements:
  - Eligibility is determined by the Teen Scholarship Program (First Things First will communicate the Teen Program Administration Organization upon award of contracts).
  - The family must attend a program that is enrolled in Quality First.

### **Pre-Kindergarten Scholarships**

Pre-Kindergarten Scholarships are payments made to a center-based early care and education providers enrolled in either full participation or rating only Quality First for the full or partial cost of care. Early care and education programs receiving pre-kindergarten scholarships are funded in the following regions during FY2014:

1. Central Maricopa
2. Central Pima

3. La Paz Mohave
4. Navajo Nation
5. North Phoenix
6. Northeast Maricopa
7. Northwest Maricopa
8. South Phoenix
9. South Pima
10. Southeast Maricopa
11. Yuma

All early care and education programs that have achieved a 3 star Quality First rating or higher in these First Things First regions have the opportunity to apply for scholarships through the Pre-Kindergarten Scholarship strategy (except for LaPaz/Mohave Region in Fiscal Year 2014). Providers in these regions that are enrolled in full participation Quality First s may receive both Quality First Child Care Scholarships and Pre-Kindergarten Scholarships. Additional detail about the Pre-Kindergarten Scholarship strategy can be found in Exhibits B and D, Strategy Summary – Pre-Kindergarten Scholarships and Standard of Practice – Pre-Kindergarten Scholarships, respectively.

First Things First will contract with a successful applicant to implement the program for Quality First Child Care Scholarships and Pre-Kindergarten Scholarships funded throughout the state of Arizona. Implementation includes the provision of the following by the successful applicant:

1. A website dedicated to providing information about First Things First Scholarships for families and early care and education providers;
  - a. Information will include, but is not limited to:
    - i. Types of scholarships with a detailed description of each type
    - ii. Eligibility requirements associated with each type of scholarship
    - iii. Application information for each type of scholarship
    - iv. Up-to-date information on programs with available scholarships
    - v. Policies and procedures about the scholarship program protocol
    - vi. Contact information for the successful applicant
  - b. The successful applicant must coordinate closely with First Things First regarding communications and public awareness. First Things First will establish all messaging guidelines for this strategy.
  - c. The successful applicant will develop and facilitate training in English and Spanish, both in-person and webinar options, for all programs eligible to receive scholarships that assists them in:
    - i. accessing scholarship information on the website;
    - ii. logging in to the program data reporting; and
    - iii. reporting necessary data for scholarship participation.

2. Development and utilization of a written policy and procedures manual that details the protocol will be developed and provided to all early care and education programs eligible for any type of First Things First Scholarship, including:
  - a. How numbers and amounts of scholarships are determined
  - b. Contracting Process – development of binding agreements between the successful applicant and individual providers
  - c. Guidance in recruiting/selecting families to receive scholarships
  - d. Guidance in monitoring and ensuring accountability of scholarship recipients (child attendance, accuracy/integrity of eligibility documentation, adherence to site policies and procedures)
  - e. Family application, eligibility and documentation requirements
  - f. Data and reporting requirements for scholarships being utilized
  - g. Information sharing with First Things First , including the type of information that is shared publicly
  - h. Payment process
  - i. Audit procedures, including guidelines for self-audit by providers
  - j. Dispute resolution, corrective action, and appeal procedures for early care and education providers
  - k. Complaint process for families and process for complaints to be resolved
  - l. Termination of scholarships
3. Notification sent to all early care and education programs eligible for any First Things First Scholarship;
  - a. First Things First will provide the successful applicant a list of all eligible programs in April, 2013. This notification will be sent in time for the provider to complete necessary contract agreement requirements prior to the start of the Fiscal Year (July 1).
  - b. Each Friday beginning July 1, 2013, the successful applicant will be provided a list of early care and education providers who have enrolled in Quality First and need to be provided notification of eligibility to receive scholarships. The list will include providers newly enrolled in Quality First and providers that have had changes to their scholarship eligibility.
    - i. Within 1 week of the successful applicant receiving the list, notification will be sent to the providers on the list..
  - c. The notification from the successful applicant to eligible early care and education programs will include the following, but is not limited to information about:
    - i. the number of scholarships the provider is eligible to receive and the reimbursement amount of the scholarships based on the star rating of the program.

- ii. the types of scholarship the provider is eligible to receive.
    - iii. the start date and end date of the scholarships.
    - iv. the policy and procedures manual and where that manual can be located.
    - v. how to contact the successful applicant directly.
  - d. Each Friday beginning July 1, 2013, the successful applicant will be provided with a list of early care and education providers who have disenrolled in Quality First. The scholarships at these programs will be terminated. Notification to these programs will be sent within 1 week of notification from First Things First and will include, but is not limited to information about:
    - i. The end date of the scholarship (the end of the month that the program became ineligible).
    - ii. Options for families who will be losing scholarships at the site.
    - iii. The due date for final reporting to the successful applicant.
4. A reporting portal for all programs to enter data about the scholarship recipients for each site receiving First Things First Scholarships. The following data will be required to be submitted on a monthly basis to First Things First;
- a. Program Name
  - b. Program Address
  - c. Quality First ID Number (provided by First Things First to the successful applicant)
  - d. Program's FTF Regional Partnership Council (must align with the Quality First designated Regional Partnership Council)
  - e. Program Contact Person and contact information
  - f. Monthly reporting period
  - g. Child Name
    - i. First Name
    - ii. Last Name
  - h. Child Birthdate
  - i. Scholarship type
    - i. Quality First Child Care Scholarship
    - ii. Pre-Kindergarten Scholarship
    - iii. Navajo Nation Off Reservation Scholarship
    - iv. Teen Parent Scholarship
  - j. Full Time/Part Time status
  - k. Date Program can start requesting scholarship reimbursement
  - l. Date Program is no longer eligible for scholarship reimbursement
  - m. Date Child enrolled in scholarship
  - n. Date child vacated scholarship

- o. Number of days the child receiving the scholarship attended during the reporting period
  - p. Number of absences of the child receiving the scholarship during the reporting period
  - q. Monthly Rate for the child receiving the scholarship
  - r. Family co-payment, if applicable
  - s. Percent of FPL of the Family Income
  - t. List of Programs who have declined the use of scholarships
    - i. Quality First Provider ID
    - ii. Reason for decline
    - iii. Number of Scholarships declined
5. Payments from the successful applicant directly to the early care and education provider, including issuing a federal form 1099 to each provider
6. A customer service office that provides timely, clearly communicated information to providers and families who are seeking program information about scholarships or are currently receiving scholarships, and through which early care and education providers can contact the successful applicant. The successful applicant must:
- a. have the capacity to anticipate challenges that might occur and respond proactively to those situations.
  - b. have the capacity to communicate effectively and efficiently with approximately 1000 providers and 5000 families.
  - c. have the capacity to communicate with families and providers throughout Arizona, including accessing bilingual (English/Spanish) support.
  - d. employ staff that have customer service experience and experience in the early care and education field.
  - e. Conduct monthly analysis of scholarship usage and reporting to identify programs that are not using/reporting scholarships and communicate with the provider and First Things First Regional Directors to identify and resolve barriers to usage and reporting.
7. have the capacity to complete audits of programs throughout Arizona
- a. Conduct random audits on 10% of the number of programs receiving scholarships per region
  - b. Conduct audits on 100% of the family application/documentation at all programs randomly selected for audits in each region.

The successful applicant must demonstrate the following factors that are critical to the success of this strategy:

1. Experience
  - a. The successful applicant should demonstrate sufficient experience in funding community-based providers by varying types and sizes including small and group home family providers, nonprofit providers, for profit providers, rural and urban providers, and other early care and education providers.
2. Flexibility
  - a. Providers may require specific payment structures to meet the needs of their financial office. The successful applicant must have the capacity to work within the guidelines of this scope of work while maintaining the flexibility to meet the needs of individual providers.
  - b. Regional areas may differ somewhat from one another, primarily in terms of the target population and the scholarship amounts. The successful applicant is required to allow for and support flexibility across regions to best meet the individual needs of those regions.
  - c. Regional Partnership Councils have the ability to invest additional resources in the specified access and affordability strategies, and this may result in an increase in the amount and number of councils identified in this Scope of Work. The successful applicant is expected to administer additional funds, possibly in additional regions, when this occurs.
3. Efficiency
  - a. The successful applicant must ensure that the infrastructure of the scholarship program is efficient so that providers do not need to duplicate information in multiple formats.
4. Collaboration with First Things First
  - a. The successful applicant will meet with First Things First on a monthly basis to assure efficient and professional implementation.
  - b. The successful applicant will ensure that policies and procedures are reviewed by First Things First prior to implementation.
  - c. The successful applicant will ensure that all communication is reviewed by First Things First prior to being sent to providers and families.

### **Implementation Strategy**

Quality First Child Care Scholarships, Pre-Kindergarten Scholarships will be implemented in the same manner in all policies and procedures with the exception of reimbursement rates that differ among the scholarships. Implementation processes include the following protocol:

1. Provider eligibility is determined by a program's participation in Quality First. First Things First requires that participating early care and education programs (centers or homes) meet the following criteria:

- a. Program provides early care and education services to children birth through age five.
  - b. Program is regulated and in good standing with appropriate certifying, licensing or regulatory authority.
  - c. Program is enrolled in Quality First.
    - i. For Pre-Kindergarten Scholarships, the program must be enrolled in Quality First and have achieved a Quality First Rating of 3 stars or above.
- 2. Family Eligibility is determined by the provider and monitored by the successful applicant (except in the case of Navajo Nation Off Reservation Scholarships and Teen Parent Scholarships).
  - a. Copies and documentation of family eligibility for scholarships to show household income at or below 200 percent of the Federal Poverty Guidelines is required and must be maintained at the provider level and must include any one of the following:
    - i. Current pay stubs
    - ii. Written statement from employer
    - iii. Documentation of current receipt of public assistance such as KidsCare, Food Stamps, Free and Reduced Lunch Program, that requires household income eligibility under 200% of the federal poverty level
    - iv. If unemployed, a letter from previous employer whenever possible is required
    - v. For those who are self-employed, the most recent Individual Income Tax Form 1040, Form 1099, or W-2 forms are required.
  - b. Family Household is defined by tax records. The tax records of the person who claims the child receiving the scholarship will be used to determine the household income.
    - i. The successful applicant will review resources and make recommendations to First Things First related to family household anomalies such as, but not limited to, families living in the same household as other families, teen parents living with their parents, families living in shelters/or who are homeless, foster children, etc.
- 3. The number and reimbursement rate of scholarships is calculated by the successful applicant.
  - a. Quality First Child Care Scholarships will be allocated based on the program's size and star rating. Exhibit E, Quality First Child Care Scholarship Target Number of Scholarships by Star Rating and Program Size and Reimbursement Percentage by Star Rating, indicates the number of scholarships per program by size of program and reimbursement percentage of Department of Economic Security (DES) 2010 Child Care Market Rate Survey by star rating of program.



- b. Pre-Kindergarten Scholarships will be determined by the Arizona Department of Education and provided to the successful applicant. The successful applicant must maintain ongoing communication with the Arizona Department of Education to ensure that the correct numbers of scholarships are reimbursed for each participant.
  - c. Additional scholarships will be allocated to providers as indicated by the Regional Council (see Exhibit G, Quality First Child Care Scholarship Allotment by Region, “Special Considerations” column).
  - d. The successful applicant will conduct an analysis of the slot allocations to determine how to continue as many children as possible in scholarships from one fiscal year to the next.
- 4. Scholarship utilization is monitored by the successful applicant.
  - a. Participating providers must agree to maintain 90 percent enrollment of the number of scholarships allotted to the site.
  - b. Participating providers must agree to fill all scholarship vacancies within 1 month of the vacancy.
  - c. If a participating program underutilizes the scholarships allotted to them for 2 calendar months in a row, the unused scholarships will be removed from the program for the remainder of the fiscal year and re-allocated to another program in the same region (prioritizing by 3 – 5 star programs).
    - i. If reallocation of slots occurs, the program losing the scholarships will have the opportunity to get the scholarships back at the beginning of the next fiscal year.
  - d. Participating providers shall develop and maintain a waiting list to assure that eligible children enter the program as vacancies occur.
- 5. Child attendance is addressed.
  - a. In instances of chronic absenteeism by a child, individual circumstances will be assessed and a decision made in conjunction with First Things First staff as to whether a scholarship will be terminated or continued due to extenuating circumstances.
- 6. Payments to providers will be made monthly by the successful applicant.
  - a. Quality First Child Care Scholarship amounts are based on the DES 2010 Child Care Market Rate Survey (see Exhibit I, DES Market Rate Survey Data – 2010 Median Market Rate).
    - i. Considerations for children who are biologically one age, but have developmental delays that would necessitate an exception to the age

band will be developed by the successful applicant and reviewed by First Things First.

- b. Pre-Kindergarten Scholarship amounts are as follows:
    - i. **Full Time** - \$600.00 per child per month;
    - ii. **Part Time** - \$300.00 per month per child
  - c. Quality First Child Care Scholarships are paid on a monthly basis for the **reported** attendance of scholarship recipients.
    - i. Payments are made by the successful applicant directly to early care and education provider ***before the end of the month following services.***
    - ii. A provider may not be reimbursed for more than their customary rate. That is, the scholarship amount alone or in combination with a parent copayment or any other funding source cannot exceed the provider's usual and customary rate. Additionally, a provider may not be reimbursed for more scholarships than have been contracted with the successful applicant.
  - d. Pre-Kindergarten Scholarships are paid on a monthly basis for the number of slots the provider has been awarded.
    - i. Payments are made by the successful applicant directly to the early care and education provider.
    - ii. Payments may be made in advance of the month service will be provided.
  - e. Providers will ***not be paid*** if they report child level data more than 60 days late. Providers may be paid for up to two months in arrears.
  - f. Full time scholarships may be split in to two part time scholarships. No further splitting of scholarships will be allowed.
    - i. Full day/full time services for children are defined as a minimum of 28 hours per week.
    - ii. Part day/part time services are defined as less than 28 hours per week, or less than 10 days per month
  - b. Child care scholarships may not be used to replace or supplant other funding sources including, but not limited to, DES, Head Start, or other public or private scholarship programs.
7. Family and child eligibility is determined prior to participation.
- a. Child care scholarships are available to families earning 200 percent or less of the most recently published Federal Poverty Guidelines, unless otherwise specified by a regional council.
  - b. All families are required to complete a scholarship application (same application for all scholarship types) that include the following information:
    - i. Name of Parent(s) or legal custodian of child(ren)
    - ii. Name of Child(ren)
    - iii. Age of Child(ren),
    - iv. Address and telephone number(s)

- v. Income (documentation to be attached)
    - vi. Validation of Citizenship or Legal Residency of Child(ren)
    - vii. Signed Declarative Statement as to the truth and accuracy of the information
    - viii. Statement acknowledging that the information contained in the application will be reported to First Things First, reviewed in audits and used publicly, in aggregate, both regionally and statewide
    - ix. Signature
    - x. Date of signature
  - c. Family applications and documentation are kept on-site at the early care and education facility.
  - d. Scholarships should reduce, not eliminate the parent contribution by establishing an affordable rate for families that, ideally, would not exceed 10 percent of their gross income. However, this is guidance only and not a requirement for provider or family eligibility or participation.
  - e. The maximum number of scholarships available to any family is two. First Things First and the successful applicant will consult regarding any exceptional circumstances for potential exemptions to this limit.
8. Quality assurance must be conducted using random participant record audits
- a. On-site audits will be conducted for 10% of early care and education providers in each First Things First Region annually for both Quality First Child Care Scholarships and Pre-Kindergarten Scholarships.
    - i. Sites will be selected randomly
    - ii. Family/community complaints about a site will prioritize a random audit
    - iii. Sites that are randomly selected and receive both Quality First Child Care Scholarships and Pre-Kindergarten scholarships will be audited for both types of scholarships.
  - b. At each site, 100% of the scholarship recipient files will be reviewed in conjunction with the data reported for payment, including:
    - i. Family eligibility
    - ii. Documentation of family eligibility
    - iii. Child eligibility
    - iv. Documentation of child eligibility
    - v. Sign in and out records
  - c. Programs that are selected to receive an on-site audit will be notified in advance that they have been selected. Notification will include, but is not limited to:
    - i. The audit process
    - ii. The reason for the audit
    - iii. When results of the audit will be communicated
    - iv. How the results of the audit will be used
    - v. Actions taken if errors are found during the audit process

9. A data quality assurance plan will be developed and implemented by the successful applicant to ensure data integrity.
  - a. The successful applicant will run error reports on the data reported by participating early care and education programs prior to submitting monthly data to First Things First.
  - b. Data quality assurance will include, but is not limited to the following::
    - i. Birth date
      1. Children's reported ages must fall in the range of birth – age 5
        - a. upon enrollment
        - b. during the reported service month
    - ii. Regional Partnership Council
      1. The reported regional partnership council must match the regional partnership council designated by First Things First in the list that is sent each Friday, and
      2. The reported regional council must remain constant throughout the contract period for each site.
    - iii. Scholarship Type – the scholarship type for children should be consistent throughout the child's participation, understanding that there may be changes on a case by case basis.
    - iv. Program Type – the type of program (center or home) must remain consistent throughout the contract period for the site. The type of program must match the program type that is designated by First Things First in the list that is sent each Friday.
    - v. Scholarship end date must be after the enrollment date for the child.
    - vi. Scholarship end date cannot be indicated before the month of service for the child.
  - c. If/when service data and financial data are not aligned, the successful applicant will provide an adjustment file justifying the gap.

**First Things First School Readiness Indicators related to this strategy:**

FTF is seeking successful applicants to implement this strategy and work collectively with FTF to impact the school readiness indicators below:

1. #/% children demonstrating school readiness at kindergarten entry in the developmental domains of social-emotional, language and literacy, cognitive, and motor and physical
2. #/% of children enrolled in an early care and education program with a Quality First rating of 3-5 stars.
3. #/% of children with special needs enrolled in an inclusive early care and education program with a Quality First rating of 3-5 stars.
4. #/% of families that spend no more than 10% of the regional median family income on quality care and education with a Quality First rating of 3-5 stars.

**First Things First Goal Area to be addressed**

1. Quality and Access

### Target Population to serve

The target population is early care and education providers who are enrolled in Quality First and receive Quality First Child Care Scholarships or Pre-Kindergarten Scholarships.

### Geographic Area

The geographic area is the entire state of Arizona. (See Exhibit P, Target Service Units Guidance Document)

### Coordination and Collaboration

First Things First prioritizes coordination and collaboration among early childhood service providers as critical to developing a seamless service delivery system for children and families. Coordination and collaboration is described as two or more organizations working together in the delivery of programs and services to a defined population. As a result of coordination and collaboration, services are often easier to access and are implemented in a manner that is more responsive to the needs of the children and families. Coordination and collaboration may also result in greater capacity to deliver services because organizations are working together to identify and address gaps in service, which results in higher quality services and cost efficiency. Successful Applicants must demonstrate capacity to work with and participate in coordination and collaboration activities. This may include but is not limited to engaging with other partners delivering the same or similar programs and services; clarifying target populations and outcomes; and defining processes and plans to reach desired outcomes. There may be local or statewide collaborative meetings which the Applicant may be asked to attend. In order to accomplish this, Applicants should plan the appropriate staffing and budget to support travel to and attendance at meetings and at other statewide meetings, as appropriate.

### Quality Assurance Assessment

First Things First Quality Assurance (QA) system involves a continuum of performance and programmatic monitoring. The QA process is a team approach in collaboration with grant partners. A strength-based, comprehensive QA assessment will be used to evaluate the implementation of the strategy Standards of Practice and to support grant partners through technical assistance that addresses specific issues and concerns. The results of the QA process have the potential to inform and strengthen the development of the Standards of Practice and the early childhood development and health system. Successful Applicants agree to actively participate in the QA process, which will involve a strategy specific QA assessment conducted by First Things First QA specialists during an on-site visit typically once during a contract cycle (every three years or so). The QA process includes adequate notice through pre-visit communication, the on-site visit and discussion, and follow-up report.

### **Program Specific Data Collection and First Things First Evaluation**

Successful Applicants agree to participate in the First Things First evaluation and any program specific evaluation or research efforts, including collaboration with evaluation-led child assessment activities. Collaborative activities may include tracking and reporting data pertaining to participant attendance, enrollment, and demographic information. In addition,

Applicants agree to allow First Things First and evaluation consultants of First Things First to observe program activities on site and successful applicants must collaborate with First Things First led and initiated evaluation activities to encourage parent consent for data collection. Data collection and First Things First evaluation activities are directly connected with the Goals, Performance Measures and Units of Service aligned to the strategy described in this RFGA. When services are provided to more than one region (multi-regional strategies), the grantee must collect and store client data for each region served through the grant agreement.

First Things First honors tribal ownership of data and recognizes communication is necessary with Arizona Tribes to determine what process/protocol is needed to obtain data. We further recognize Arizona Tribes as owners of their indigenous knowledge, cultural resources and intellectual property. To this end, it is imperative that all appropriate tribal approvals for data collection and submission to First Things First must be obtained. In addition to obtaining the agreement of the family to share data with First Things First and publicize aggregate data, the successful applicant will ensure communication with Tribal governments regarding the type of information that is being collected from scholarship recipients.

Successful Applicants must have capacity to collect and submit First Things First data requirements, securely and confidentially store client data, obtain client and any necessary tribal approvals for First Things First data submission, and utilize data to assess progress in achieving desired outcomes of the proposed strategy (see Exhibit M). Units of Service, Target Service Numbers, and Performance Measures outline how quarterly data submissions will be evaluated according to the contracted deliverables and standards of practice for that contract. Additionally, they are used by First Things First to determine the key impacts of the strategies, programs and approaches being implemented.

#### Unit of Service and related Target Service Number:

A Unit of Service is a First Things First designated indicator of performance specific to each First Things First strategy. It is composed of a unit of measure and a number (Target Service Number). A Unit of Measure/Service can be a target population and/or a service/product that a grantee is expected to serve as part of an agreement. The Target Service Number represents the number of units (e.g. target population) proposed to be served or number of products/services proposed to be delivered during the contract year.

For example, for the First Things First strategy Home Visitation, the First Things First Unit of Service is “number of families served” and a Target Service Number of 50 represents the number of families the Applicant proposes to serve during the contract period. All First Things First applicants must clearly state in the proposal a target service number for each strategy specific Unit of Service.

#### Performance Measures:

Performance Measures measure (1) key indicators of performance (i.e. Unit of Service); (2) basic implementation of strategy; (3) alignment of program activities to strategy specific standards of practice, (4) performance or progress toward pre-established

strategic goals. Performance measures may include the level or type of program activities conducted (e.g. serving families/children through home visits) and/or the direct services and products delivered by a program (e.g., providing scholarships).

All successful Applicants will be provided with data reporting requirements by First Things First and will meet the requirements of the First Things First evaluation including, but not limited to, timely and regular reporting and cooperation with all First Things First evaluation activities. Timely and regular reporting of all performance and evaluation data includes the electronic submission of data (as identified in data reporting templates designed for each strategy) through the First Things First secure web portal known as PGMS.

Units of Service and Performance Measures that are aligned to the Goal for the purposes of this RFGA are as follows:

**Unit of Service:**

Exhibit XX, Target Service Units by Region and Exhibit XX, Regional Preference for additional Scholarships indicate the maximum number of scholarships to be awarded as well as the maximum amount of funding to be allocated for the scholarships.

**Performance Measures:**

- Number of providers receiving scholarships
- Number of children receiving scholarships/proposed service number
- 75% of early care and education providers report satisfaction with the customer service, audit process, reporting process, payment process, communication process and training based on a survey conducted by the successful applicant.

For more information on FTF Goal Areas, Goals and Performance Measures, please reference the FTF Strategy Toolkit at:

<http://azftf.gov/pages/webmain.aspx?PageID=2D427ADB35B34BB09F353B77B74AB9BA>

## **How Will Applications be Evaluated?**

The review committee will evaluate Applications and recommend those for an award based on the following criteria:

- |  |       |
|--|-------|
| • Capacity of the Applicant for Addressing Needs | (25%) |
| • Proposed Program or Activity                   | (25%) |
| • Implementation Activities                      | (25%) |
| • Budget   | (10%) |
| • Data Collection                                | (15%) |

Those Applicants not selected for funding will be notified in writing; however, pursuant to A.R.S. §41-2702 (E), all Applications shall not be open for public inspection until after grants are

awarded. A.R.S. §41-2702 (G) also states the evaluator assessments shall be made available for public inspection no later than thirty (30) days after a formal award is made.

### **Application: Responding to the Scope of Work**

To complete your Application, provide a comprehensive narrative response that addresses each of the items in the Executive Summary and the criteria sections below. If an item requires a completed attachment, please reference that attachment within the narrative response when indicated. The narrative must include a one page executive summary, use 12 point font size and have no less than an one inch margin. It is recommended that the narrative not exceed 50 pages, including the executive summary.

#### **A. Executive Summary** (required – 1 page overview)

Provide a one (1) page narrative overview of the proposed project that includes the target service number, a brief summary of the program or strategy, how it will be implemented, the Applicant's capacity to implement this program and how success and outcomes will be measured. Also complete the First Things First Standard Data Collection Form (Attachment A).

#### **B. Capacity for Addressing the Need and Implementing the Strategy Successfully (25%)**

Provide a narrative description describing your organization's understanding of the needs and capacity to implement the proposed service, addressing the following:

- a) Describe the need(s) the proposed strategy will address and include data to support evidence of the need.
  1. Describe the assets that currently exist, within the organization, to address the need and support the proposed strategy.
- b) Provide examples of experience implementing scholarships programs and/or current experience (if applicable) and the outcomes of those programs. It should be noted that past performance on any grants might be taken into consideration in evaluation of your proposal.
  1. What experience does your organization have in funding community-based providers by varying types and sizes including small and group home family providers, nonprofit providers, for profit providers, rural and urban providers, and other early care and education providers.
- c) Describe your organization's professional knowledge and experience of the target population to reach.
  1. Regional areas may differ somewhat from one another, primarily in terms of the target population and the scholarship amounts. The successful applicant is required to allow for and support flexibility across regions to best meet the individual needs of those regions.
- d) Identify capacity or infrastructure building which will be needed and the proposed approach, including agreements and partnerships with other agencies, additional resources, and training and technical assistance to provide the proposed service.
- e) Include the coordination and collaboration activities in which the organization is currently engaged and how this will support the proposed strategy.



1. Indicate the agencies/partners you anticipate involving. Attach letters of support or Memoranda of Understanding for each proposed partner, describing the role and responsibilities for the success of the project (specifically list programs outside of First Things First);
  2. Describe the collaboration activities you will participate in with First Things First;
  3. Describe how you will collaborate with the programs enrolled in Quality First, First Things First Regional Directors, Arizona Department of Education and families seeking scholarships for their children.
- f) Identify personnel recruitment, qualifications and supervision. Applicants must complete a Key Personnel Overview (attachment B) for each type of scholarship (Quality First Child Care Scholarship and Pre-Kindergarten Scholarship)
1. For each person listed on the Key Personnel Overview, please indicate the specific related job duties that will be completed by that person for the number of hours that will be charged to Quality First Child Care Scholarships and/or Pre-Kindergarten Scholarships.
- g) Describe plans to recruit and locate personnel who are linguistically and culturally competent for the population to be served.
- h) Describe your organization's ability to increase the services as necessary if additional funding becomes available for program expansion.
1. Include timelines that would be necessary for an increase of services.

**C. Proposed Program or Strategy (25%)**

Provide a description of the program being proposed including the following:

- a) Provide a clear and thorough description of the proposed program/services by addressing all aspects of the scope of work. A successful applicant will include, but not be limited to the following:
1. A website dedicated to providing information about First Things First Scholarships for families and early care and education providers that will include, but is not limited to:
    - i. Types of scholarships with a detailed description of each type
    - ii. Eligibility requirements associated with each type of scholarship
    - iii. Application information for each type of scholarship
    - iv. Up-to-date information on programs with available scholarships
    - v. Policies and procedures about the scholarship program protocol
    - vi. Contact information for the successful applicant
  2. Describe how you will coordinate with First Things First regarding communications and public awareness.
  3. Describe the bilingual training that will be developed and facilitated for all programs eligible to receive scholarships that assists them in:
    - i. accessing scholarship information on the website;
    - ii. logging in to the program data reporting; and
    - iii. reporting necessary data for scholarship participation.
  4. Include table of contents for the written policy and procedures manual that details the protocols for First Things First Scholarships. At minimum, the manual must include:

- i. How numbers and amounts of scholarships are determined
  - ii. Contracting Process – development of binding agreements between the successful applicant and individual providers
  - iii. Guidance in recruiting/selecting families to receive scholarships
  - iv. Guidance in monitoring and ensuring accountability of scholarship recipients (child attendance, accuracy/integrity of eligibility documentation, adherence to site policies and procedures)
  - v. Family application, eligibility and documentation requirements
  - vi. Data and reporting requirements for scholarships being utilized
  - vii. Information sharing with First Things First , including the type of information that is shared publicly
  - viii. Payment process
  - ix. Audit procedures, including guidelines for self-audit by providers
  - x. Dispute resolution, corrective action, and appeal procedures for early care and education providers
  - xi. Complaint process for families and process for complaints to be resolved
  - xii. Termination of scholarships
5. Describe the procedure and notification content you will use to notify all early care and education programs that they are eligible for First Things First Scholarships within 1 week of receiving notification from First Things First that a program is eligible. Content must include, at minimum:
- i. the number of scholarships the provider is eligible to receive and the reimbursement amount of the scholarships based on the star rating of the program.
  - ii. the types of scholarship the provider is eligible to receive.
  - iii. the start date and end date of the scholarships.
  - iv. the policy and procedures manual and where that manual can be located.
  - v. how to contact the successful applicant directly.
6. Describe the procedure and notification content you will use to notify all early care and education programs that they are no longer eligible for First Things First Scholarships within 1 week of receiving notification from First Things First that a program is no longer eligible. Content must include, at minimum:
- i. The end date of the scholarship (the end of the month that the program became ineligible).
  - ii. Options for families who will be losing scholarships at the site.
  - iii. The due date for final reporting to the successful applicant.
7. Describe the reporting portal that will be used for all programs utilizing scholarships to enter data about the scholarship recipients at each site. Data must include, but is not limited to, the following:
- i. Program Name
  - ii. Program Address
  - iii. Program ID Number (must align with Quality First ID Numbers which will be provided by First Things First to the successful applicant)
  - iv. Program's FTF Regional Partnership Council (must align with the Quality First identified Regional Partnership Council)

- v. Program Contact Person and contact information
  - vi. Dates of each monthly reporting period
  - vii. Child Name
  - viii. Child Birthdate
  - ix. Scholarship type
  - x. Full Time/Part Time status
  - xi. Date scholarship started
  - xii. Date scholarship ended, if applicable
  - xiii. Number of days the child receiving the scholarship attended during the reporting period
  - xiv. Number of absences of the child receiving the scholarship during the reporting period
  - xv. Monthly Rate for the child receiving the scholarship
  - xvi. Family co-payment, if applicable
  - xvii. Percent of FPL of the Family Income
  - xviii. Affidavit that all information is correct as reported
8. Indicate how payments will be made from the successful applicant directly to the early care and education provider, including issuing a federal form 1099 to each provider
    - i. Providers may require specific payment structures to meet the needs of their financial office. Describe the capacity your organization has to work within the guidelines of this scope of work while maintaining the flexibility to meet the needs of individual providers.
    - ii. Indicate considerations that would be made for children who are biologically in one age band of the DES Market Rate, but developmentally necessitate care in a different age band.
  9. Describe how you will provide timely, clearly communicated information to providers and families who are seeking program information about scholarships or are currently receiving scholarships, and through which early care and education providers can contact the successful applicant. The successful applicant must:
    - i. Provide assurance that the organization has the capacity to communicate effectively and efficiently with approximately 1000 providers and 5000 families throughout the state of Arizona, including bilingual (English/Spanish) support.
    - ii. Indicate how staff will be hired with customer service experience and experience in the early care and education field.
    - iii. Describe potential challenges that might occur. Describe strategies that you will employ to proactively work through potential challenges.
  10. Describe the process you will use to conduct monthly analyses of scholarship usage and reporting to identify programs that are not using/reporting scholarships and communicate with the provider and First Things First Regional Directors to identify and resolve barriers to usage and reporting.
  11. Describe the audit process that you will implement.
  12. Describe the data quality assurance plan you will implement.
    - i. Indicate the Data Error Reports that you will run on a monthly basis.

- ii. Describe how these reports will be used to monitor the implementation of the scholarship program.
- iii. Describe how you will communicate the errors found and methods to resolve the errors with First Things First.

This narrative should provide context for the activities listed in the next section, Implementation Activities.

**D. Implementation Activities (25%)**

Using Attachment C, Implementation Plan, describe the activities needed to operationalize the proposed strategy(ies), including timelines, responsibilities, and coordination activities.

**E. Budget (10%)**

**A Budget and Budget Narrative must be submitted for each scholarship type (Quality First Child Care Scholarships and Pre-Kindergarten Scholarships) for a total of two Budgets and two Budget Narratives.**

The budget and budget narrative should provide a clear and concise explanation of the methods used to determine the amounts for each line item in the proposed program budget. All budget forms must be signed by an authorized agency representative.

- a) Submit the Funds Requested Form (Attachment D). No additional narrative is required.
- b) Submit the Line Item Budget (Attachment E) using only the budget categories listed on the form. No additional narrative is required.
- c) Submit the Budget Narrative (Attachment F) using only the budget categories listed on the form.
- d) Submit the Disclosure of Other Funding (Attachment G). This list should include all other sources of funding currently received from other State or public agencies, Federal agencies, non-profit organizations and other sources that will be applied to the proposed program/strategy(ies). Note that statute A.R.S. §8-1183 provides for a prohibition on supplanting of state funds by First Things First expenditures, meaning that no FTF monies expended are to be used to take the place of any existing state or federal funding for early childhood development and health programs.
- e) Describe your organization's business management system by completion of the Financial Systems Survey. Attach the Financial Systems Survey (Attachment H) to capture basic financial system/operational information to assess financial capacity early in the process. No additional narrative is required. As noted in the financial system survey, you are required to submit a complete copy of the most recent audited, reviewed or compiled financial statements as well as management letters and a schedule showing the TOTAL federal funds (by granting agency) expended by your agency for the most recent fiscal year. **NOTE THAT ONLY ONE COPY OF EACH OF THESE DOCUMENTS NEEDS TO BE INCLUDED WITH THE APPLICATION MARKED "ORIGINAL".**

**F. Data Collection (15%)**

Describe in this section the plan and resources necessary to meet FTF basic reporting requirements, maintain data securely and confidentially, and ensure that ongoing data collection is used within the grantee institution to ensure fidelity and overall effectiveness.

In this section, include discussion of:

- a) Who will have overall responsibility for the data collection, maintenance, and reporting. Be sure to include this person in your Key Personnel Overview, Attachment B.
- b) How the required data will be collected, maintained, and aggregated. Describe how you will ensure that data entered into the Quality First web-based database after it has been collected is accurate and timely. What procedures will be in place to assure the quality of your data (e.g., training for data collectors, oversight of data entry, timeliness for administering tools, etc.)?
- c) If applicable, describe the anticipated approval process to collect and report data from tribal government programs.
- d) What resources (e.g., personnel, supplies, computer, etc.) will be needed to complete necessary activities related to data collection, maintenance, and security as well as the assurance of quality data input and data collection for the program. In addition to this narrative description, the funds dedicated to evaluation should be reflected in the budget and budget narrative in Section D above.
- e) Complete the Data Collection Form, Attachment I.
- f) Prepare a plan for monitoring the integrity of program implementation for coaching and incentives.
- g) How will you use the results of program implementation monitoring to inform program implementation?

## **Instructions to Applicants**

**A. Inquiries**

1. Duty to Examine. It is the responsibility of each Applicant to examine the entire RFGA, seek clarification in writing (inquiries), and examine its' Application for accuracy before submitting the Application. Lack of care in preparing an Application shall not be grounds for modifying or withdrawing the Application after the Application due date and time, nor shall it give rise to any Contract claim.
2. RFGA Contact Person. Any inquiry related to an RFGA, including any requests for or inquiries regarding standards referenced in the RFGA shall be directed solely to the RFGA contact person. The Applicant shall not contact or direct inquiries concerning this RFGA to any other State employee unless the RFGA specifically identifies a person other than the RFGA contact person as a contact.
3. Submission of Inquiries. The Fiscal and Contracts Specialist identified in this RFGA, who is the contact for all inquiries except at the Pre-Application Conference, requires that an inquiry be submitted in writing. Any inquiry related to the RFGA shall refer to the appropriate RFGA number, page and paragraph. Do not place the RFGA number on the outside of the envelope containing that inquiry, since it may then be identified as an

Application and not be opened until after the Application due date and time. Electronic inquiries are acceptable. First Things First shall consider the relevancy of the inquiry but is not required to respond in writing.

4. Timeliness. Any inquiry or exception to the RFGA shall be submitted as soon as possible and should be submitted at least seven days before the Application due date and time for review and determination by First Things First. Failure to do so may result in the inquiry not being considered for an RFGA Amendment.
5. No Right to Rely on Verbal Responses. An Applicant shall not rely on verbal responses to inquiries. A verbal reply to an inquiry does not constitute a modification of the RFGA.
6. RFGA Amendments. The RFGA shall only be modified by a formal written RFGA amendment. Formal written amendments are posted on the First Things First website, [www.azftf.gov](http://www.azftf.gov). It is the sole responsibility of the Applicant to check the website regularly.
7. Pre-Application Conference. A Pre-Application Conference has been scheduled for this RFGA and specific date, time and location are found on Page 2 of this RFGA. Applicants should raise any questions about the RFGA at that time. The Pre-Application Conference will clarify the contents of the RFGA in order to prevent any misunderstanding of First Things First's position. Any doubt as to the requirements of the RFGA or any apparent omission or discrepancy should be presented to First Things First at the Conference. An Applicant may not rely on any verbal responses to questions at the Conference. Material issues raised at the Conference that result in changes to the RFGA shall be answered solely through a formal written RFGA amendment. **Attendance at the Pre-Application Conference is strongly encouraged, but not mandatory.**
8. Persons with Disabilities. Persons with a disability may request a reasonable accommodation, such as a sign language interpreter, by contacting the RFGA contact person. Requests shall be made as early as possible to allow time to arrange the accommodation.

## **B. Application Preparation**

1. Forms. No facsimile or electronic mail Applications shall be accepted. An Application shall be submitted using the forms provided in this RFGA or on their substantial equivalent. Any substitute document for the forms provided in this RFGA must be legible and contain the same information requested on the forms, unless the RFGA indicates otherwise.
2. Technical Requirements. Applications will be reviewed initially for compliance with technical requirements. Noncompliance with these requirements may result in the Application being deemed non-responsive, and therefore, not susceptible to award.
  - Responses should be typed, single-spaced with one-inch margins or wider with a twelve (12)-point font used.

- Applications are not to be bound in spiral binders or in 3-ring notebooks. Please submit the Application either stapled in the upper left-hand corner or use a binder clip.
- Applications should be single sided, NOT duplexed.
- Number all pages and include a table of contents that follows the underlined categories in the “Application: Responding to the Scope of Work” Section. Enclose one (1) original (clearly marked “ORIGINAL”) and nine (9) additional copies.
- All Attachments must be completed as instructed.
- The organization name and the Request for Grant Application Number (**RFGA number found on page 1 of this RFGA**) must be clearly marked on the outside of the sealed envelope/package.

Please refer to the Checklist within this RFGA to verify inclusion of all required documentation and use of the proper format.

3. Evidence of Intent to be Bound. The Applicant Offer and Acceptance Form within the RFGA shall be submitted with the Application and shall include a signature by a person authorized to sign the Application. The signature shall signify the Applicant’s intent to be bound by the Application, the terms of the RFGA and that the information provided is true, accurate and complete. Failure to submit verifiable evidence of intent to be bound, such as an original signature, shall result in rejection of the Application.
4. Exceptions to Terms and Conditions. All exceptions included with the Application shall be submitted in a clearly identified separate section of the Application in which the Applicant clearly identifies the specific paragraphs of the RFGA where the exceptions occur. Any exceptions not included in such a section shall be without force and effect in any resulting Contract unless such exception is specifically accepted by the Fiscal and Contracts Specialist in a written statement. The Applicant’s preprinted or standard terms will not be considered by First Things First as a part of any resulting Contract. All exceptions that are contained in the Application may negatively affect First Things First’s proposal evaluation based on the evaluation criteria stated in the RFGA or result in rejection of the Application.
5. Subcontracts. Applicant shall clearly list any proposed subcontractors and the subcontractor’s proposed responsibilities in the Application.
6. Cost of Application Preparation. First Things First will not reimburse any Applicant the cost of responding to an RFGA.
7. RFGA Amendments. Each RFGA Amendment shall be signed with an original signature by the person signing the Application, and shall be submitted no later than the Application due date and time. Failure to return a signed copy of a RFGA Amendment may result in rejection of the Application.

8. Additional Materials. Additional materials such as promotional brochures or examples of other programs should not be submitted unless they directly relate to the information required in the Application.
9. Provision of Tax Identification Numbers. Applicants are required to provide their Arizona Transaction Privilege Tax Number and/or Federal Tax Identification number in the space provided on the Offer and Acceptance Form.
10. Disclosure. If the firm, business or person submitting this Application has been debarred, suspended or otherwise lawfully precluded from participating in any public procurement activity, including being disapproved as a subcontractor with any Federal, state or local government; or if any such preclusion from participation from any public procurement activity is currently pending, the Applicant shall fully explain the circumstances relating to the preclusion or proposed preclusion in the Application. The Applicant shall include a letter with its Application setting forth the name and address of the governmental unit, the effective date of this suspension or debarment, the duration of the suspension or debarment, and the relevant circumstances relating to the suspension or debarment. If suspension or debarment is currently pending, a detailed description of all relevant circumstances including the details enumerated above shall be provided.
11. RFGA Order of Precedence. In the event of a conflict in the provisions of this RFGA, the following shall prevail in the order set forth below:
  - 11.1 First Things First Special Terms and Conditions
  - 11.2 State of Arizona Uniform Terms and Conditions
  - 11.3 Scope of Work
  - 11.4 Attachments
  - 11.5 Exhibits
  - 11.6 Instructions to Applicants
  - 11.7 Other documents referenced or included in the RFGA

### **C. Submission of Application**

1. Sealed Envelope or Package. One (1) original (clearly marked “original”) Application and nine (9) copies shall be submitted to the submittal location identified in this RFGA. Applications must be submitted in a sealed envelope or container. The envelope or container should be clearly identified with name of the Applicant and RFGA number. First Things First may open envelopes or containers to identify contents if the envelope or container is not clearly identified.
2. Late Applications. An Application submitted after the exact Application due date and time shall be rejected. Applications **must** be received by First Things First at the designated due date and time.



3. Application Amendment or Withdrawal. An Application may not be amended or withdrawn after the Application due date and time except as otherwise provided under applicable law.
4. Application Opening. Applications shall be opened publicly at the time and place identified in this RFGA. The name of each Applicant shall be read publicly and recorded.
5. Disqualification. An Applicant (including each of its principals) who is currently debarred, suspended or otherwise lawfully prohibited from any public procurement activity shall have its Application rejected.
6. Public Record. All Applications submitted and opened are public records and must be retained by First Things First. Applications shall be open to public inspection no later than 30 days after Contract award pursuant to A.R.S. §41-2702 (E), except for such Applications deemed to be confidential by First Things First. If an Applicant believes that information in its Application should remain confidential, it shall indicate as confidential the specific information and submit a statement with its Application detailing the reasons that the information should not be disclosed. Such reasons shall include the specific harm or prejudice which may arise. First Things First, pursuant to A.C.R.R. R2-7-104, shall review all requests for confidentiality and provide a written determination. If the confidential request is denied, such information shall be disclosed as public information, unless the person utilizes the "Protest" provision as noted in A.R.S. §41-2611 through §41-2616.
7. Application Acceptance Period. Applications shall be irrevocable for 120 days after the RFGA due date and time.
8. Non-collusion, Employment, and Services. By signing the Offer and Acceptance Form, the Applicant certifies that:
  - a. The Applicant did not engage in collusion or other anti-competitive practices in connection with the preparation or submission of its Application; and
  - b. The Applicant does not discriminate against any employee or applicant for employment or person to whom it provides services because of race, color, religion, sex, national origin, sexual orientation or disability, and that it complies with all applicable Federal, state and local laws and executive orders regarding employment.
9. Budget Limitations. In the event that the Applications received exceed the budget limitations, First Things First reserves the option to request a reduction in the scope of the Applicant's proposed program. Revised budget documents will be required. First Things First reserves the right to award contracts for less than the proposed amount and/or less than the available funds or make awards that exceed the posted available funds as additional funds become available.

10. Waiver and Rejection Rights. Notwithstanding any other provision of the RFGA, the State reserves the right to:

- 10.1 Waive any minor informality,
- 10.2 Reject any and all Applications or portions thereof, or
- 10.3 Cancel the RFGA.

#### **D. Award**

- 1. Single Award. In order to ensure adequate coverage of First Things First requirements, a single award is anticipated to be made; however multiple awards may be considered.
- 2. Contract Inception. An Application does not constitute a Contract nor does it confer any rights on the Applicant to the award of a Contract. A Contract is not created until the Application is accepted in writing by the First Things First designee's signature on the Offer and Acceptance Form. A notice of award or of the intent to award shall not constitute acceptance of the Application.
- 3. Effective Date. The effective date of this Contract shall be the date that the First Things First designee signs the Offer and Acceptance form or other official contract form, unless another date is specifically stated in the Contract.

#### **E. Protests**

- 1. A protest shall comply with and be resolved according to A.R.S. §41-2611. Protests shall be in writing and filed with the Chief Executive Officer, Arizona Early Childhood Development and Health Board. A protest of an RFGA shall be received by the Fiscal and Contracts Specialist before the Application due date. A protest of a proposed award or of an award shall be filed within ten (10) days after the protester knows or should have known the basis of the protest. A protest shall include:
  - 1.1 The name, address and telephone number of the protester,
  - 1.2 The signature of the protester or its representative,
  - 1.3 Identification of the RFGA or Contract number,
  - 1.4 A detailed statement of the legal and factual grounds of the protest including copies of relevant documents, and
  - 1.5 The form of relief requested.

#### **F. Comments Welcome**

- 1. First Things First periodically reviews the Instructions to Applicants and welcomes any comments you may have. Please submit your comments to the Fiscal and Contracts Specialist, [grants@azftf.gov](mailto:grants@azftf.gov)

## **Terms and Conditions**

#### **FIRST THINGS FIRST SPECIAL TERMS AND CONDITIONS**

- 1. Term of Contract. The effective date of this Contract shall be the date that the First Things First designee signs the Offer and Acceptance form or other official contract form

and shall remain in effect until June 30, 2014, unless terminated, cancelled or extended as otherwise provided herein.

2. Contract Renewal/Contract Amendment. This Contract shall not bind nor purport to bind First Things First for any contractual commitment in excess of the original contract period. First Things First shall have the right, with consult of the awardee, to issue a written contract amendment to expand services and increase funding awarded to compensate for the agreed upon service expansion. First Things First shall have the right, at its sole option, to renew the contract for four (4) one-year periods or a portion thereof. Contract awards may be increased, decreased, or not renewed based on evaluation, programmatic and fiscal performance, adherence to standards of practice, the availability of funds, or the discretion of First Things First. If First Things First exercises such rights, all terms, conditions and provisions of the original contract shall remain the same and apply during the renewal period.
3. Reporting. At minimum, grantees shall submit quarterly programmatic progress reports due by the 20<sup>th</sup> of the month following the quarter and will submit evaluation data reports and enter data into the First Things First Partners in Grants Management System (PGMS). Program narrative reports shall also be submitted via the First Things First PGMS. Failure to submit timely reports will result in suspension of reimbursement. The report shall contain such information as deemed necessary by First Things First.

Requests for program and budget changes must be sent to First Things First designated staff. First Things First will post any important grantee requirement information under the Grantee Resources section of PGMS and this can include updates to Standards of Practice, Units of Service or other day to day operational updates that relate to any awarded grants.

4. Reimbursement/Payment. The Grantee shall be paid on a cost-reimbursement basis, at a maximum of monthly or a minimum of quarterly for those items submitted and approved in the budget inclusively. Reimbursement requests shall be submitted monthly or quarterly via the First Things First PGMS. **Grantee shall submit a final reimbursement request for expenses obligated prior to the date of contract termination no more than forty-five (45) days after the contract end.** Requests for reimbursement received later than forty-five (45) days after the contract termination will not be paid. **If awarded a contract, your organization must have sufficient funds to meet obligations for at least sixty- (60) days while awaiting reimbursements.** If an exception is requested to this requirement, it must be provided in writing in your Application describing the justification and need for alternative considerations, which will be separately considered during the application review and may not be approved. Requests for exceptions to reimbursement-based payments submitted after awards are made are subject to separate review and may not be approved.

Financial budget modification requests must be sent to First Things First designated staff.

5. Confidentiality of Records. The Grantee shall establish and maintain procedures and controls that are acceptable to First Things First for the purpose of assuring that no information contained in its records or obtained from First Things First or from others in carrying out its functions under the contract shall be used by or disclosed by it, its agents, officers, or employees; except as required to efficiently perform duties under the contract. Persons requesting such information shall be referred to First Things First. Grantee also agrees that any information pertaining to individual persons shall not be divulged other than to employees or officers of the Grantee as needed for the performance of duties under the contract, unless otherwise agreed to in writing by First Things First.
6. Key Personnel. It is essential that the Grantee provide an adequate staff of experienced personnel, capable of and devoted to the successful accomplishment of work to be performed under this contract. The Grantee must assign specific individuals to the key positions, when possible or submit an official position description for which candidates must qualify. **Once assigned to work under the contract, if key personnel are removed or replaced, written notification shall be sent to First Things First.**
7. Orientation. A mandatory Orientation Meeting will be scheduled during the first quarter after awards are made and will provide all awarded grantees the information required to manage the contract.
8. Working with Tribal Regional Partnership Council(s). A grantee must comply with requirements set forth by the Tribal Government in relation to essential functions of the grants operation including data collection. It is the responsibility of the grantee to follow appropriate policy and procedures, complete IRB, parent consent, and appropriate tribal approvals as designated by tribal authorities.
9. Geographic Distribution. If Applications are not received from geographic areas within the region or if an Application submitted is not deemed applicable to funding by the review committee all funding may not be awarded or could be awarded to meet disparate geographic need for services. First Things First also reserves the right to fund more than one program in an area, to not award the entire amount of available funds, or to award an amount that is greater than the posted available funds.

## STATE OF ARIZONA UNIFORM TERMS AND CONDITIONS

### 1. Contract Interpretation

- 1.1 Arizona Law. This Contract shall be governed and interpreted by the laws of the State of Arizona. The venue for any proceedings, actions, or suits arising from this Contract shall be in Maricopa County, Arizona.
- 1.2 Implied Contract Terms. Each provision of law and any terms required by law to be in this Contract are a part of this Contract as if fully stated in it.

- 1.3 Contract Order of Precedence. In the event of a conflict in the provisions of the Contract, as accepted by First Things First and as they may be amended, the following shall prevail in the order set forth below:
- 1.3.1. First Things First Special Terms and Conditions
  - 1.3.2. State of Arizona Uniform Terms and Conditions
  - 1.3.3. Statement or Scope of Work
  - 1.3.4. Attachments/Exhibits
  - 1.3.5. Documents referenced or included in the RFGA
- 1.4 Severability. The provisions of this Contract are severable. Any term or condition deemed illegal or invalid shall not affect any other term or condition of the Contract.
- 1.5 No Parole Evidence. This Contract is intended by the parties as a final and complete expression of their contract. No course of prior dealings between the parties and no usage of the trade shall supplement or explain any terms used in this document and no other understanding either oral or in writing shall be binding.
- 1.6 No Waiver. Party's failure to insist on strict performance of any term or condition of the Contract shall not be deemed a waiver of that term or condition even if the party accepting or acquiescing in the nonconforming performance knows of the nature of the performance and fails to object to it.

## **2. Contract Administration and Operation**

- 2.1 Records. Pursuant to A.R.S. §35-214 and §35-215, the Grantee shall retain and shall contractually require each subcontractor to retain all data and other "records" relating to the acquisition and performance of the Contract for a period of five years after the completion of the Contract. All records shall be subject to inspection and audit by First Things First at reasonable times. Upon request, the Grantee shall produce a legible copy of any or all such records.
- 2.2 Non-Discrimination. The Grantee shall comply with State Executive Order No. 99-4 and all other applicable Federal and State laws, rules and regulations, including the Americans with Disabilities and all applicable provisions and regulations relating to Executive Order No. 13279 – Equal Protection of the Laws for Faith-based and Community Organizations.
- 2.3 Audit. Pursuant to A.R.S. §35-214, at any time during the term of this Contract and five (5) years thereafter, the Grantee's or any subcontractor's books and records shall be subject to audit by First Things First and, where applicable, the Federal Government, to the extent that the books and records relate to the performance of the Contract or subcontract.
- 2.4 Financial Audit. In compliance with the Federal Single Audit Act (31 U.S.C. par., 7501-7507), as amended by the Single Audit Act Amendments of 1996 (P.L. 104 to

156), grant sub-recipients, as prescribed by the President's Council on Integrity and Efficiency Position #6, expending Federal Grants from all sources totaling \$500,000 or more, must have an annual audit conducted in accordance with OMB Circular #A-133, "Audits of States, Local Governments and Non-profit Organizations." **If you have expended more than \$500,000 in federal dollars, a copy of your audit report for the previous fiscal year must be submitted with your Application.**

- 2.5 Audit Trails. Grantee shall maintain proper audit trails for all reports related to this contract. First Things First reserves the right to review all program records.
- 2.6 Fund Management. The Grantee must maintain funds received under this contract in separate ledger accounts and cannot mix these funds with other sources. Grantee must manage funds according to applicable regulations for administrative requirements, cost principles and audits.

The Grantee must maintain adequate business systems to comply with State requirements. The business systems that must be maintained are:

- a. Financial Management
- b. Procurement
- c. Personnel
- d. Property
- e. Travel

A system is adequate if it is: 1) written; 2) consistently followed – it applies in all similar circumstances; and 3) consistently applied – it applies to all sources of funds.

- 2.7 Notices. All notices, requests, demands or communications by either party to this Agreement, pursuant to or in connection with this Agreement shall be in writing and shall be delivered in person or shall be sent by the United States Postal Service, certified mail, return receipt requested, to the respective parties at the following addresses:  
First Things First  
Finance Division  
4000 N. Central Avenue, Suite 800  
Phoenix, AZ 85012
- 2.8 Advertising, Publishing and Promotion of Contract. The Grantee shall not use, advertise or promote information for commercial benefit concerning this Contract without the prior written approval of the Fiscal and Contracts Specialist.
- 2.9 Review of Printed Material. First Things First reserves the right to review and approve all grantee publications and/or media funded or partially funded through this grant. All grantee publications funded or partially funded through this grant shall recognize First Things First as the funding source. First Things First shall have full and complete rights to reproduce, duplicate, disclose, perform, and otherwise use all materials prepared under this grant.

The grantee agrees that any report, printed matter, or publication (written, visual, or sound, but excluding press releases, newsletters, and issue analyses) issued by the grantee describing programs or projects funded under this agreement, in whole or in part with First Things First funds and shall follow the protocol and style guide provided by First Things First. First Things First will post any applicable updated communications protocol information under the Grantee Resources section of PGMS.

2.10 Property of the State. Any materials and data required to be collected, delivered, or created under this grant, including but not limited to reports, computer programs and other deliverables are the sole property of the State (First Things First.) The grantee is not entitled to a patent or copyright on those materials and may not transfer the patent or copyright to anyone else. The grantee shall not use or release these materials without the prior written consent of First Things First.

2.11 Ownership of Intellectual Property. Any and all intellectual property, including but not limited to copyright, invention, trademark, trade name, service mark, and/or trade secrets created or conceived pursuant to or as a result of this grant and any related subgrant (“Intellectual Property”), shall be work made for hire and First Things First shall be considered the creator of such Intellectual Property. The agency, department, division, board or commission of the State of Arizona requesting the issuance of this grant shall own (for and on behalf of the State) the entire right, title and interest to the Intellectual Property throughout the world. The grantee shall notify First Things First, within thirty (30) days, of the creation of any Intellectual Property by it or its subgrantee(s). The grantee, on behalf of itself and any subgrantee(s), agrees to execute any and all document(s) necessary to assure ownership of the Intellectual Property vests in the State and shall take no affirmative actions that might have the effect of vesting all or part of the Intellectual Property in any entity other than the State. The Intellectual Property shall not be disclosed by grantee or its subgrantee(s) to any entity not the State without the express written authorization of the agency, department, division, board or commission of the State of Arizona requesting the issuance of this grant.

### **3. Funding/Payments**

3.1. Funding. Requested funding must be submitted in an all-inclusive basis. The State will not reimburse any item other than the all-inclusive funding contained on the budget forms.

3.2. Tax Indemnification. Grantee and all subcontracts shall pay all Federal, state and local taxes applicable to its operation and any persons employed by the Grantee. Grantee shall, and require all subcontractors to hold First Things First harmless from any responsibility for taxes, damages and interest, if applicable, contributions required under Federal, and/or state and local laws and regulations and any other costs including transaction privilege taxes, unemployment compensation insurance, Social Security and Worker’s Compensation.

- 3.3. IRS Substitute W9 Form. In order to receive payment the Grantee shall have a current IRS Substitute W9 Form on file with State of Arizona, unless not required by law.
- 3.4. Availability of Funds for the Next Fiscal Year. Funds are not presently available for performance under this contract beyond the current fiscal year. Every payment obligation of First Things First under this Contract is conditioned upon the availability of funds appropriated or allocated for the payment of such obligation. If funds are not allocated and available for the continuance of this Contract, this Contract may be terminated by First Things First at the end of the period for which funds are available. No liability shall accrue to First Things First in the event this provision is exercised, and First Things First shall not be obligated or liable for any future payments or for any damages as a result of termination under this paragraph.

#### **4. Contract Changes**

- 4.1 Amendments. Any change in the contract including the scope of work and budget described herein, whether by modification or supplementation, must be accomplished by a formal written contract amendment signed and approved by and between the duly authorized representatives of the Grantee and First Things First. Any such amendment shall specify an effective date, any increases or decreases in the Grantee's compensation, if applicable, and entitled as an "Amendment" and signed by the parties identified in the preceding sentence. The Grantee expressly and explicitly understands and agrees that no other method and/or no other document, including correspondence, acts, and oral communications by or from any person, shall be used or construed as an amendment or modification or supplementation to the contract.
- 4.2 Subcontractors. The Grantee agrees and understands that no subcontract that the Grantee enters into with respect to performance under this contract shall in any way relieve the Grantee of any responsibility for performance of its duties. It is highly recommended by First Things First that a Memorandum of Understanding or some other type of contract is in place between the Grantee and a Subcontractor for services to be performed, and in which a payment amount has been negotiated and approved, to avoid any misunderstanding between both parties. The Subcontract shall incorporate by reference the terms and conditions of this Contract.
- 4.3 Assignment and Delegation. The Grantee shall not assign any right nor delegate any duty under this Contract without the prior written approval of the Fiscal and Contracts Specialist. First Things First shall not unreasonably withhold approval.



## 5. Risk and Liability

5.1. Indemnification. (Not Public Agency) The parties to this Contract agree that First Things First, its departments, Board and Councils shall be indemnified and held harmless by the Grantee for the vicarious liability of First Things First as a result of entering into this contract. However, the parties further agree that First Things First, its departments, Board and Councils shall be responsible for its own negligence. Each party to this contract is responsible for its own negligence.

5.2 Indemnification Language for Public Agencies Only. Each party (as 'indemnitor') agrees to indemnify, defend, and hold harmless the other party (as 'indemnitee') from and against any and all claims, losses, liability, costs, or expenses (including reasonable attorney's fees) (hereinafter collectively referred to as 'claims') arising out of bodily injury of any person (including death) or property damage but only to the extent that such claims which result in vicarious/derivative liability to the indemnitee, are caused by the act, omission, negligence, misconduct, or other fault of the indemnitor, its officers, officials, agents, employees, or volunteers.

*This indemnity shall not apply if the Grantee or sub-contractor(s) is/are an agency, board, commission or university of the State of Arizona.*

5.3 Insurance Requirements. Grantee and subcontractors shall procure and maintain until all of their obligations have been discharged, including any warranty periods under this Contract, are satisfied, insurance against claims for injury to persons or damage to property which may arise from or in connection with the performance of the work hereunder by the Grantee, his agents, representatives, employees or subcontractors.

The *insurance requirements* herein are minimum requirements for this Contract and in no way limit the indemnity covenants contained in this Contract. First Things First in no way warrants that the minimum limits contained herein are sufficient to protect the Grantee from liabilities that might arise out of the performance of the work under this contract by the Grantee, its agents, representatives, employees or subcontractors, and Grantee is free to purchase additional insurance.

A. MINIMUM SCOPE AND LIMITS OF INSURANCE: Grantee shall provide coverage with limits of liability not less than those stated below.

### 1. Commercial General Liability – Occurrence Form

Policy shall include bodily injury, property damage, personal injury and broad form contractual liability coverage.

- |  |             |
|--|-------------|
| • General Aggregate                                | \$2,000,000 |
| • Products – Completed Operations Aggregate        | \$1,000,000 |
| • Personal and Advertising Injury                  | \$1,000,000 |
| • Blanket Contractual Liability – Written and Oral | \$1,000,000 |
| • Fire Legal Liability                             | \$50,000    |

- Each Occurrence \$1,000,000
  - a. The policy shall be endorsed to **include coverage for sexual abuse and molestation.**
  - b. The policy shall be endorsed to include the following additional insured language: ***"The State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees shall be named as additional insureds with respect to liability arising out of the activities performed by or on behalf of the Grantee".***
  - c. Policy shall contain a waiver of subrogation against the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Grantee.

## 2. **Business Automobile Liability**

Bodily Injury and Property Damage for any owned, hired, and/or non-owned vehicles used in the performance of this Contract.

- Combined Single Limit (CSL) \$1,000,000
  - a. The policy shall be endorsed to include the following additional insured language: ***"The State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees shall be named as additional insureds with respect to liability arising out of the activities performed by or on behalf of the Grantee, involving automobiles owned, leased, hired or borrowed by the Grantee".***
  - b. Policy shall contain a waiver of subrogation against the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Grantee.

## 3. **Worker's Compensation and Employers' Liability**

- Workers' Compensation Statutory
- Employers' Liability
  - Each Accident \$ 500,000
  - Disease – Each Employee \$ 500,000
  - Disease – Policy Limit \$1,000,000
  - a. Policy shall contain a waiver of subrogation against the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Grantee.
  - b. This requirement shall not apply to separately, EACH Grantee or subcontractor exempt under A.R.S. §23-901, AND when such Grantee or subcontractor executes the appropriate waiver (Sole Proprietor/Independent Contractor) form.

**4. Professional Liability (Errors and Omissions Liability)**

- Each Claim \$1,000,000
- Annual Aggregate \$2,000,000
  - a. In the event that the professional liability insurance required by this Contract is written on a claims-made basis, Grantee warrants that any retroactive date under the policy shall precede the effective date of this Contract; and that either continuous coverage will be maintained or an extended discovery period will be exercised for a period of two (2) years beginning at the time work under this Contract is completed.
  - b. The policy shall cover professional misconduct or lack of ordinary skill for those positions defined in the Scope of Work of this contract.

- B. ADDITIONAL INSURANCE REQUIREMENTS: The policies shall include, or be endorsed to include, the following provisions:
1. The State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees wherever additional insured status is required such additional insured shall be covered to the full limits of liability purchased by the Grantee, even if those limits of liability are in excess of those required by this Contract.
  2. The Grantee's insurance coverage shall be primary insurance with respect to all other available sources.
  3. Coverage provided by the Grantee shall not be limited to the liability assumed under the indemnification provisions of this Contract.
- C. NOTICE OF CANCELLATION: Each insurance policy required by the insurance provisions of this Contract shall provide the required coverage and shall not be suspended, voided, canceled, or reduced in coverage or in limits except after thirty- (30) days prior written notice has been given to the State of Arizona. Such notice shall be sent directly to (First Things First, Fiscal and Contracts Specialist, 4000 N. Central, Suite 800, Phoenix, AZ 85012) and shall be sent by certified mail, return receipt requested.
- D. ACCEPTABILITY OF INSURERS: Insurance is to be placed with duly licensed or approved non-admitted insurers in the state of Arizona with an "A.M. Best" rating of not less than A-VII. The State of Arizona in no way warrants that the above-required minimum insurer rating is sufficient to protect the Grantee from potential insurer insolvency.
- E. VERIFICATION OF COVERAGE: Grantee shall furnish the State of Arizona with certificates of insurance (ACORD form or equivalent approved by the State of Arizona) as required by this Contract. The certificates for each insurance policy are to be signed by a person authorized by that insurer to bind coverage on its behalf.
- F. All certificates and endorsements are to be received and approved by the State of Arizona before work commences. Each insurance policy required by this Contract must be in effect at or prior to commencement of work under this Contract and remain in effect for the

duration of the project. Failure to maintain the insurance policies as required by this Contract, or to provide evidence of renewal, is a material breach of contract.

- G. All certificates required by this Contract shall be sent directly to (First Things First, Fiscal and Contracts Specialist, 4000 N. Central, Suite 800, Phoenix, AZ 85012). The State of Arizona project/contract number and project description shall be noted on the certificate of insurance. The State of Arizona reserves the right to require complete, certified copies of all insurance policies required by this Contract at any time. DO NOT SEND CERTIFICATES OF INSURANCE TO THE STATE OF ARIZONA'S RISK MANAGEMENT SECTION.
- H. SUBCONTRACTORS: Grantees' certificate(s) shall include all subcontractors as insureds under its policies or Grantee shall furnish to the State of Arizona separate certificates and endorsements for each subcontractor. All coverages for subcontractors shall be subject to the minimum requirements identified above.
- I. APPROVAL: Any modification or variation from the *insurance requirements* in this Contract shall be made by the Department of Administration, Risk Management Section, whose decision shall be final. Such action will not require a formal Contract amendment, but may be made by administrative action.
- J. EXCEPTIONS: In the event the Grantee or sub-contractor(s) is/are a public entity, then the Insurance Requirements shall not apply. Such public entity shall provide a Certificate of Self-Insurance. If the Grantee or sub-contractor(s) is/are a State of Arizona agency, board, commission, or university, none of the above shall apply.

5.4 Force Majeure. If either party hereto is delayed or prevented from the performance of any act required in this Agreement due to acts of God, strikes, lockouts, labor disputes, civil disorder, or other causes without fault and beyond the control of the party obligated, performance of or payment for such act will be excused for the period of the delay.

5.5 Third Party Antitrust Violations. The Grantee assigns to First Things First any claim for cover charges resulting from antitrust violations to the extent that those violations concern materials or services supplied by third parties to the Grantee, toward fulfillment of this Contract.

## **6. Compliance**

- 6.1 Compliance with Applicable Laws. The services supplied under this Contract shall comply with all applicable Federal, state and local laws, and the Grantee shall maintain all applicable licenses and permit requirements.
- 6.2 Sectarian Requests. Funds may not be expended for any sectarian purpose or activity, including sectarian worship or instructions.

- 6.3 Restrictions on Lobbying. The Grantee shall not use these funds to pay for, influence, or seek to influence any officer or employee of First Things First, state government or the federal government if that action may have an impact, of any nature, on this contract.
- 6.4 Licenses. Grantee shall maintain in current status all federal, state and local licenses and permits required for the operation of the business conducted by the Grantee.
- 6.5 Fingerprinting. Pursuant to A.R.S. §41-1758 Grantee will obtain fingerprint cards and/or background checks as applicable.

This Contract may be cancelled or terminated if the fingerprint check or the certified form of any person who is employed by a provider, whether paid or not, and who is required or allowed to provide services directly to children, discloses that a person has committed any act of sexual abuse of a child, including sexual exploitation or commercial sexual exploitation, or any act of child abuse or that the person has been convicted of or awaiting trial on any criminal offenses in this state or similar offenses in another state or jurisdiction.

## **7. State's Contractual Remedies**

- 7.1 Right to Assurance. If First Things First in good faith has reason to believe that the Grantee does not intend to, or is unable to perform or continue performing under this Contract, the Fiscal and Contracts Specialist may demand in writing that the Grantee give a written assurance of intent to perform. Failure by the Grantee to provide written assurance within the number of Days specified in the demand may be, at First Things First's discretion, the basis for terminating the Contract under the First Things First Uniform Terms and Conditions or other rights and remedies available by law or provided by the contract.
- 7.2 Cancellation for Failure to Perform. Failure by the Grantee to adhere to any provision of this Agreement or its Attachments in the time and manner provided by this Contract or its Attachments shall constitute a material default and breach of this Contract and First Things First may cancel, at its option, this Agreement upon prior written notice.

First Things First may issue a written ten (10) day notice of default to the Grantee for acting or failing to act including but not limited to any of the following:

- The Grantee provides personnel that do not meet the requirements of this Agreement or are of an unacceptable quality.
- The Grantee fails to perform adequately the services required in this Agreement.
- The Grantee fails to furnish the required product or services within the time stipulated in this Agreement.

- The Grantee fails to make progress in the performance of the requirements of the Agreement and/or gives a positive indication that the Grantee will not or cannot perform to the requirements of this Agreement.

If the Grantee does not correct any problem(s) within ten (10) days after receiving the notice of default, First Things First may cancel the Contract. If First Things First cancels the Contract pursuant to this clause, First Things First reserves all rights or claims to damage for breach of the Contract and the Grantee agrees to a general release in favor of First Things First for any claim for reimbursement.

7.3 Non-Exclusive Remedies The rights and the remedies of First Things First under this Contract are not exclusive.

## **8. Contract Termination**

- 8.1 Cancellation for Conflict of Interest. Pursuant to A.R.S. §38-511, First Things First may cancel this Contract within three (3) years after Contract execution without penalty or further obligation if any person significantly involved in initiating, negotiating, securing, drafting or creating the Contract on behalf of First Things First is or becomes at any time while the Contract or an extension of the Contract is in effect an employee of or a consultant to any other party to this Contract with respect to the subject matter of the Contract. The cancellation shall be effective when the Grantee receives written notice of the cancellation unless the notice specifies a later time. If the Grantee is a political subdivision of the State of Arizona, it may also cancel this Contract as provided in A.R.S. §38-511.
- 8.2 Suspension or Debarment. First Things First may, by written notice to the Grantee, immediately terminate this Contract if First Things First determines that the Grantee has been debarred, suspended or otherwise lawfully prohibited from participating in any public procurement activity, including but not limited to, being disapproved as a subcontractor of any public procurement unit or other governmental body. Submittal of an Application or execution of a contract shall attest that the Grantee is not currently suspended or debarred. If the Grantee becomes suspended or debarred, the Grantee shall immediately notify First Things First.
- 8.3 Termination for Convenience. First Things First reserves the right to terminate the Contract, in whole or in part at any time, when in the best interests of First Things First without penalty or recourse. Upon receipt of the written notice, the Grantee shall stop all work, as directed in the notice, notify all subcontractors of the effective date of the termination and minimize all further costs to First Things First. In the event of termination under this paragraph, all documents, data and reports prepared by the Grantee under the Contract shall become the property of and be delivered to First Things First upon demand. The Grantee shall be entitled to receive just, equitable compensation for work in progress, work completed, and

materials accepted before the effective date of the termination. The cost principles and procedures provided in A.A.C. R2-7-701 shall apply.

8.4 Termination for Default. In addition to the rights reserved in the contract, First Things First may terminate the Contract in whole or in part due to the failure of the Grantee to comply with any term or condition of the Contract, to acquire and maintain all required insurance policies, bonds, licenses and permits, or to make satisfactory progress in performing the Contract. First Things First shall provide written notice of the termination to the Grantee. Upon termination under this paragraph, all materials, documents, data and reports prepared by the Grantee under the Contract shall become the property of and be delivered to First Things First on demand. Upon termination of this Contract, First Things First may procure, on terms and in the manner that it deems appropriate, materials or services to replace those under this Contract. The Grantee shall be liable to First Things First for any excess costs incurred by First Things First in procuring services in substitution for those due from the Grantee.

## **9. Contract Claims**

9.1 Arbitration. The parties to this Contract agree to resolve all disputes arising out of or relating to this contract through arbitration, after exhausting applicable administrative review, to the extent required by A.R.S. §12-1518, except as may be required by other applicable statutes (Title 41).

## **10. Federal and State Laws and State of Arizona General Uniform Terms and Conditions**

First Things First follows all State of Arizona and Federal laws, State of Arizona Uniform Terms and Conditions. These laws include Federal Immigration and Nationality Act (FINA) and all other federal immigration laws and regulations related to immigration status of its employees. First Things First may request verification for any Grantee, Contractor, or Subcontractor performing work under the agreement. Grantees are required to follow any and all State laws around immigration and English only. Should First Things First suspect that a grantee is not in compliance with state or federal laws and First Things First may pursue any and all remedies allowed by law, including but not limited to: suspension of work, termination, and suspension and/or debarment of the grantee. All costs necessary to verify compliance are the responsibility of the grantee.

The latest edition of the Arizona Uniform General Terms and Conditions and Uniform Instructions to Applicants is incorporated into this Request for Grant Application by reference. Copies may be obtained from the Arizona State Procurement Office at (602) 542-5511 or at: [http://spo.az.gov/Admin\\_Policy/SPM/Forms/default.asp](http://spo.az.gov/Admin_Policy/SPM/Forms/default.asp).

## Checklist

Use the following list to make sure your Grant Application is complete and meets the requirements specified in this request for grant Applications:

- ☐ One (1) original copy marked “original”, and nine (9) additional copies
- ☐ Completed and signed First Things First Offer and Acceptance form
- ☐ Signed copy of all amendments issued for the RFGA (if applicable)
- ☐ Table of Contents
- ☐ Application including Executive Summary and response to **ALL** questions in sections A – F of Application: Responding to the Scope of Work
- ☐ Standard Agency Information Collection Form completed, Attachment A
- ☐ State of Arizona Substitute W-9 Form (must be downloaded and printed) signed, if applicable, [http://www.gao.az.gov/onlineforms/forms/AZ\\_subw-9\\_010410.pdf](http://www.gao.az.gov/onlineforms/forms/AZ_subw-9_010410.pdf)
- ☐ Key Personnel Overview completed, Attachment B
- ☐ Implementation Plan completed, Attachment C
- ☐ Funds Requested Page, completed and signed, Attachment D
- ☐ Standard Line Item Budget, completed and signed, Attachment E
- ☐ Budget Narrative, completed and signed, Attachment F
- ☐ Disclosure of Other Funding Sources, completed and signed, Attachment G
- ☐ Financial Systems Survey is completed and signed, Attachment H
- ☐ Data Collection Form, Attachment I
- ☐ Resumes for all personnel listed in the budget
- ☐ One copy of your agency’s most recent audited, reviewed or compiled financial statements as well as a schedule showing the total federal funds (by granting agency) expended by your agency for the most recent fiscal year included with the Application marked Original.
- ☐ Page numbers are included on all pages, in sequence, twelve point font or larger and single-spaced, with one inch margins or wider.
- ☐ In the original application, documents requiring signatures should have **ORIGINAL** signatures.
- ☐ Do **NOT** bind your Application in spiral binders or in 3-ring notebooks. Please submit your Applications either stapled in the upper left-hand corner or use a binder clip.
- ☐ When submitting your Application, insure your organization name and the Request for Grant Application Number (**found on Page 1 of this RFGA**) is CLEARLY marked on the outside of the SEALED envelope/package.
- ☐ **It is the responsibility of each Applicant to insure their Application is delivered to First Things First by the due date and time listed on Page 2 of this RFGA.** Please allow for such contingencies as heavy traffic, weather, directions, parking, security, etc.



## Attachments and Exhibits

Attachment A	Standard Agency Information Collection Form
Attachment B	Key Personnel Overview – Quality First Child Care Scholarships Key Personnel Overview – Pre-Kindergarten Scholarships
Attachment C	Implementation Plan
Attachment D	Funds Requested Page
Attachment E	Line Item Budget Form – Quality First Child Care Scholarships Line Item Budget Form – Pre-Kindergarten Scholarships
Attachment F	Budget Narrative Explanation
Attachment G	Disclosure of Other Funding Sources
Attachment H	Financial Systems Survey
Attachment I	Data Collection Form
Exhibit A	Strategy Summary – Quality First Child Care Scholarships
Exhibit B	Strategy Summary – Pre-Kindergarten Scholarships
Exhibit C	Standard of Practice – Quality First Child Care Scholarships
Exhibit D	Standard of Practice – Pre-Kindergarten Scholarships
Exhibit E	Quality First Child Care Scholarship Target Number of Scholarships by Star Rating and Program Size and Reimbursement Percentage by Star Rating
Exhibit F	Budget Summary
Exhibit G	Quality First Child Care Scholarships Allotment by Region
Exhibit H	Pre-Kindergarten Scholarship Allotment by Region
Exhibit I	DES Market Rate Survey Data – 2010 Median Market Rate
Exhibit J	Standard Terms Defined
Exhibit K	Sample Certificate of Insurance
Exhibit L	Target Service Unit Guidance Document
Exhibit M	Data Security Guidelines and Requirements

## **Attachment A**

### **FIRST THINGS FIRST STANDARD AGENCY INFORMATION COLLECTION FORM**

#### **A. Agency Information:**

Program Name (if applicable) \_\_\_\_\_

Agency \_\_\_\_\_ Contact Person \_\_\_\_\_

Address \_\_\_\_\_ Position \_\_\_\_\_

Address \_\_\_\_\_ Email \_\_\_\_\_

City, State, Zip \_\_\_\_\_ Phone \_\_\_\_\_ x \_\_\_\_\_ Fax \_\_\_\_\_

County \_\_\_\_\_ Employer Identification Number: \_\_\_\_\_

Agency Classification:    ☐ State Agency    ☐ County Government    ☐ Local Government    ☐ Schools  
                                 ☐ Tribal    ☐ Faith Based    ☐ Non Profit    ☐ Private Organization    ☐ Other

Have you previously conducted business with First Things First using this EIN?    ☐ Y    ☐ N

If **NO**, please go to the following website, download the State of Arizona Substitute W-9 Form and submit with your Application: [http://www.gao.az.gov/Vendor/account\\_setup\\_home.asp](http://www.gao.az.gov/Vendor/account_setup_home.asp).

In which Congressional (Federal) District is your agency?    Enter District # \_\_\_\_\_  
<http://www.azredistricting.org> (click on Final Maps)

In which Legislative (State) District is your agency?    Enter District # \_\_\_\_\_  
<http://www.azredistricting.org> (click on Final Maps)

Approximately how much FEDERAL funding (from a Federal Source) will your organization expend in your current fiscal year? \$ \_\_\_\_\_

What is your organization's fiscal year-end date? \_\_\_\_\_

Accounting Method:    ☐ Cash    ☐ Accrual

Does your organization undergo an annual independent audit in accordance with OMB Circular A-133?    ☐ Y    ☐ N

Please provide contact information of the audit firm conducting your audit:

Agency \_\_\_\_\_

Address \_\_\_\_\_

Phone Number \_\_\_\_\_

#### **B. Proposed Program Information / Description:**

Amount requested: \_\_\_\_\_

Service area of proposed program: \_\_\_\_\_

Target population of proposed program: \_\_\_\_\_

Please provide a **brief** description of the **proposed program** in one or two paragraphs and this will be the source for a public description describing the nature of the program being implemented that will be used by First Things First.

**C. Contact Information**

First Things First Partner and Grants Management System (PGMS) require four designated contacts for contact with First Things First related to this grant (the same person may be assigned to more than one of the roles, if appropriate).

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**Main Contact Information** – This should be information for the person designated as the Main contact for this grant award and this person can view all information related to this grant (financial, programmatic and data collection/evaluation in nature). This person will also be the primary contact for First Things First and should be the person responsible for ensuring the program plan is implemented. Primary correspondence from First Things First will be sent to this person.

Main Contact Person \_\_\_\_\_

Position \_\_\_\_\_

Address \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Email \_\_\_\_\_

Phone \_\_\_\_\_ x \_\_\_\_\_ Fax \_\_\_\_\_

**Program Contact Information** – This should be information for the person designated as the Program contact for this grant award and this person can view information related to this grant for program or data collection purposes only.

Program Contact Person \_\_\_\_\_

Position \_\_\_\_\_

Address \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Email \_\_\_\_\_

Phone \_\_\_\_\_ x \_\_\_\_\_ Fax \_\_\_\_\_

**Financial Contact Information** – This should be information for the person designated as the financial contact for this grant award and this person can view information related to this grant for financial purposes only.

Financial Contact Person \_\_\_\_\_

Position \_\_\_\_\_

Address \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Email \_\_\_\_\_

Phone \_\_\_\_\_ x \_\_\_\_\_ Fax \_\_\_\_\_

**Evaluation Contact Information** – This should be information for the person designated as the Evaluation contact for this grant award and this person can view information related to this grant for data collection purposes only.

Evaluation Contact Person \_\_\_\_\_

Position \_\_\_\_\_

Address \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Email \_\_\_\_\_

Phone \_\_\_\_\_ x \_\_\_\_\_ Fax \_\_\_\_\_

In addition, your application may have included information about a collaborating partner/agency. Please replicate this information as many times as necessary to document the participation and agreement to be involved with the application as a collaborating agency/partner.

**Collaborator**

Agency\_\_\_\_\_

Address\_\_\_\_\_

Address\_\_\_\_\_

City, State, Zip\_\_\_\_\_

County\_\_\_\_\_

Contact Person\_\_\_\_\_

Position\_\_\_\_\_

Email\_\_\_\_\_

Phone\_\_\_\_\_x\_\_\_\_\_Fax\_\_\_\_\_

**Collaborator**

Agency\_\_\_\_\_

Address\_\_\_\_\_

Address\_\_\_\_\_

City, State, Zip\_\_\_\_\_

County\_\_\_\_\_

Contact Person\_\_\_\_\_

Position\_\_\_\_\_

Email\_\_\_\_\_

Phone\_\_\_\_\_x\_\_\_\_\_Fax\_\_\_\_\_

**Collaborator**

Agency\_\_\_\_\_

Address\_\_\_\_\_

Address\_\_\_\_\_

City, State, Zip\_\_\_\_\_

County\_\_\_\_\_

Contact Person\_\_\_\_\_

Position\_\_\_\_\_

Email\_\_\_\_\_

Phone\_\_\_\_\_x\_\_\_\_\_Fax\_\_\_\_\_

**Collaborator**

Agency\_\_\_\_\_

Address\_\_\_\_\_

Address\_\_\_\_\_

City, State, Zip\_\_\_\_\_

County\_\_\_\_\_

Contact Person\_\_\_\_\_

Position\_\_\_\_\_

Email\_\_\_\_\_

Phone\_\_\_\_\_x\_\_\_\_\_Fax\_\_\_\_\_

## **Attachment B**

### **KEY PERSONNEL OVERVIEW\* QUALITY FIRST CHILD CARE SCHOLARAHIPS**

<b>STAFF MEMBER</b>	<b>BACKGROUND AND EXPERTISE OF PERSONNEL</b>
Name: Title: FTE on this project:	
Name: Title: FTE on this project:	
Name: Title: FTE on this project:	
Name: Title: FTE on this project:	
Name: Title: FTE on this project:	
Name: Title: FTE on this project:	

**\*In addition to this overview, please attach a resume (for current personnel) or a job description (for positions to be hired) for the key individuals involved in the project. If awarded and your project experiences changes in staff, notification must be sent to First Things First. In addition, if you are describing a position to be hired, you must send staff notification and resume to First Things First when the position is filled.**

**KEY PERSONNEL SHOULD INCLUDE ANYONE WHO WILL BE PAID FROM THE GRANT**

# **KEY PERSONNEL OVERVIEW\*** **PRE-KINDERGARTEN SCHOLARSHIPS**

STAFF MEMBER	BACKGROUND AND EXPERTISE OF PERSONNEL
Name: Title: FTE on this project:	
Name: Title: FTE on this project:	
Name: Title: FTE on this project:	
Name: Title: FTE on this project:	
Name: Title: FTE on this project:	
Name: Title: FTE on this project:	

**\*In addition to this overview, please attach a resume (for current personnel) or a job description (for positions to be hired) for the key individuals involved in the project. If awarded and your project experiences changes in staff, notification must be sent to First Things First. In addition, if you are describing a position to be hired, you must send staff notification and resume to First Things First when the position is filled.**

**KEY PERSONNEL SHOULD INCLUDE ANYONE WHO WILL BE PAID FROM THE GRANT**

## **Attachment C**

### **July 1, 2013 – June, 30 2014 Implementation Plan**

<b>Activities</b>	<b>Task</b>	<b>Person Responsible</b>	<b>Date Task Will Be Completed/Timeline</b>	<b>Support Documentation</b>



**Attachment D**

**FUNDS REQUESTED PAGE**

The Offer must state a firm, fixed total guaranteed not-to-exceed amount of funds requested for the Grant.

\$\_\_\_\_\_Total Funds Requested

Authorized Signature\_\_\_\_\_

Date\_\_\_\_\_

Job Title \_\_\_\_\_

## **Attachment E and F Instructions**

### **How to Complete the Line Item Budget and Budget Narrative**

Complete a 12-month budget for the period July 1, 2013 through June 30, 2014 using the template provided in Attachment E. Please make sure you include a budget narrative as Attachment F.

Please keep in mind items described in a line item budget and in more detail in the budget narrative should describe how the costs were determined and the public purpose for the cost related successfully implementing the project. Please assure that all requested funds follow these guidelines:

- Be necessary and reasonable for proper and efficient performance and administration of First Things First funds.
- Be authorized or not prohibited under State or local laws or regulations.
- Be consistent with policies, regulations, and procedures that apply uniformly to all costs charged and expended by the agency – consistent treatment of costs.
  - For example – a cost may not be assigned to another grant award as an indirect cost if any other cost incurred for the same purposes in like circumstances has been allocated to the First Things First award as a direct cost.
  - For example – a cost for a certain type of expense is charged one rate to another source of funding and a different rate to First Things First - this would not be consistent treatment of costs.
- Be determined in accordance with generally accepted accounting principles.
- Be adequately documented.
- All travel related costs for these trainings and meetings should be included in the Applicant's budget and calculated using the State of Arizona travel rate limitations for mileage, per diem and lodging as described on the budget narrative worksheet. For more information about the state requirements, visit <http://www.gao.az.gov/travel/>.
- Requests for line item modifications, which do not change the total program funding, shall be requested in writing and shall only be made following receipt of written authorization from First Things First.

Please note the line items included in the budget template represent the types of costs possible for a line item budget these line items may or may not be applicable or appropriate for your Application. Your budget line items requested must fit within one of the categories listed. However, it is expected that you would not need to utilize all of the sample line items.

## Attachment E – Line Item Budget

### QUALITY FIRST CHILD CARE SCHOLARSHIPS

While you must use this format, you may reproduce it with Word Processing or Spreadsheet software. Limit your budget line items to the following categories: Personnel, Fringe Benefits, Professional Services, Travel, Pass-Through (i.e. Sub grants), Other Operating Expenses and Administrative/Indirect Costs.

**Budget period: July 1, 2013 – June 30, 2014**

Budget Category	Line Item Description	Requested Funds	Total Cost
<b>PERSONNEL SERVICES</b>		<b>Personnel Services Sub Total</b>	<b>\$</b>
Salaries			
<b>EMPLOYEE RELATED EXPENSES</b>		<b>Employee Related Expenses Sub Total</b>	<b>\$</b>
Fringe Benefits or Other ERE			
<b>PROFESSIONAL AND OUTSIDE SERVICES</b>		<b>Professional &amp; Outside Services Sub Total</b>	<b>\$</b>
Contracted Services			
<b>TRAVEL</b>		<b>Travel Sub Total</b>	<b>\$</b>
In-State Travel			
Out of State Travel			
<b>AID TO ORGANIZATIONS OR INDIVIDUALS</b>		<b>Aid to Organizations or Individuals Sub Total</b>	<b>\$</b>
Subgrants or Subcontracts to organizations/agencies/entities			
<b>OTHER OPERATING EXPENSES</b>		<b>Other Operating Expenses Sub Total</b>	<b>\$</b>
<ul style="list-style-type: none"> <li>• Telephones/Communications Services</li> <li>• Internet Access</li> <li>• General Office Supplies</li> <li>• Food</li> <li>• Rent/Occupancy</li> <li>• Evaluation (non-contracted &amp; non-personnel expenses)</li> <li>• Utilities</li> <li>• Furniture</li> <li>• Postage</li> <li>• Software (including IT supplies)</li> <li>• Dues/Subscriptions</li> <li>• Advertising</li> <li>• Printing/Copying</li> <li>• Equipment Maintenance</li> <li>• Professional Development/Staff Training</li> <li>• Conference Workshops/ Training Fees for Staff</li> <li>• Insurance</li> <li>• Program Materials</li> <li>• Program Supplies</li> <li>• Scholarships</li> <li>• Program Incentives</li> </ul>			
<b>NON-CAPITAL EQUIPMENT</b>		<b>Non-Capital Sub Total</b>	<b>\$</b>
Equipment \$4,999 or less in value			
<b>Subtotal Direct Program Costs:</b>			<b>\$</b>
<b>ADMINISTRATIVE/INDIRECT COSTS</b>		<b>Total Admin/Indirect</b>	<b>\$</b>
Indirect/Admin Costs		\$	\$
<b>Total</b>		<b>\$</b>	<b>\$</b>

Authorized signature \_\_\_\_\_

Date \_\_\_\_\_

## PRE-KINDERGARTEN SCHOLARSHIPS

While you must use this format, you may reproduce it with Word Processing or Spreadsheet software. Limit your budget line items to the following categories: Personnel, Fringe Benefits, Professional Services, Travel, Pass-Through (i.e. Sub grants), Other Operating Expenses and Administrative/Indirect Costs.

**Budget period: July 1, 2013 – June 30, 2014**

Budget Category	Line Item Description	Requested Funds	Total Cost
<b>PERSONNEL SERVICES</b>		<b>Personnel Services Sub Total</b>	<b>\$</b>
Salaries			
<b>EMPLOYEE RELATED EXPENSES</b>		<b>Employee Related Expenses Sub Total</b>	<b>\$</b>
Fringe Benefits or Other ERE			
<b>PROFESSIONAL AND OUTSIDE SERVICES</b>		<b>Professional &amp; Outside Services Sub Total</b>	<b>\$</b>
Contracted Services			
<b>TRAVEL</b>		<b>Travel Sub Total</b>	<b>\$</b>
In-State Travel			
Out of State Travel			
<b>AID TO ORGANIZATIONS OR INDIVIDUALS</b>		<b>Aid to Organizations or Individuals Sub Total</b>	<b>\$</b>
Subgrants or Subcontracts to organizations/agencies/entities			
<b>OTHER OPERATING EXPENSES</b>		<b>Other Operating Expenses Sub Total</b>	<b>\$</b>
<ul style="list-style-type: none"> <li>• Telephones/Communications Services</li> <li>• Internet Access</li> <li>• General Office Supplies</li> <li>• Food</li> <li>• Rent/Occupancy</li> <li>• Evaluation (non-contracted &amp; non-personnel expenses)</li> <li>• Utilities</li> <li>• Furniture</li> <li>• Postage</li> <li>• Software (including IT supplies)</li> <li>• Dues/Subscriptions</li> <li>• Advertising</li> <li>• Printing/Copying</li> <li>• Equipment Maintenance</li> <li>• Professional Development/Staff Training</li> <li>• Conference Workshops/ Training Fees for Staff</li> <li>• Insurance</li> <li>• Program Materials</li> <li>• Program Supplies</li> <li>• Scholarships</li> <li>• Program Incentives</li> </ul>			
<b>NON-CAPITAL EQUIPMENT</b>		<b>Non-Capital Sub Total</b>	<b>\$</b>
Equipment \$4,999 or less in value			
<b>Subtotal Direct Program Costs:</b>			<b>\$</b>
<b>ADMINISTRATIVE/INDIRECT COSTS</b>		<b>Total Admin/Indirect</b>	<b>\$</b>
Indirect/Admin Costs		\$	\$
<b>Total</b>		<b>\$</b>	<b>\$</b>

Authorized signature \_\_\_\_\_

Date \_\_\_\_\_

## **Attachment F – Budget Narrative**

**Please submit a separate Budget Narrative for Quality First Child Care Scholarships and Pre-Kindergarten Scholarships.**

The purpose of the budget narrative is to provide more clarity and detail on the various budget line items. The budget narrative should explain the criteria used to compute the budget figures on the budget form. Please verify that the narrative and budget form correspond and the calculations and totals are accurate. ***Please include one narrative that matches the 12-month line item budget categories and subcategories.***

**Personnel Services:** *Include information such as position title(s), name of employee (if known), salary, time to be spent on this program (hours or %), number of months assigned to this program, etc. Explain how the salary rate for each position was determined. If salaries are expected to increase during the project year, indicate the percentage increases for each position and justify the percent of the salary increase. Also, be sure to include the scheduled salary increases on the Budget Form.*

**Employee Related Expenses:** *Include a benefit percentage and what expenses make up employee benefit costs. Indicate any special rates for part-time employees, if applicable. Explain how the benefits for each position were determined. If using a fringe benefit rate, explain how this percentage is justified or approved by your agency.*

**Professional and Outside Services:** *If professional consultants/services costs are proposed in the budget, define how the costs for these services were determined and the justification for the services related to the project. Explain how all contracts will be procured.*

**Travel:** *Separate travel that is in-state and out-of-state. Include a detailed breakdown of hotel, transportation, meal costs, etc. Indicate the location(s) of travel, the justification for travel, how many employees will attend and how the estimates have been determined. Explain the relationship of each cost item to the project (e.g., if training or training expenses are requested, explain the topic of the training and its relationship to the project). Applicants **must** use the State of Arizona Travel Policy on rates limitations for mileage, lodging, and meals (<http://www.gao.az.gov/travel/> for both in-state and out-of-state travel.*

**Aid to Organizations or Individuals:** *In the event that this application represents collaboration and the contract will be utilizing other sub grantees or subcontractors to perform various components of the program, include a list of sub grantees, programmatic work each sub grantee will perform, and how costs for each sub grantee are determined.*

**Other Operating Expenses:** *Explain each item to be purchased, how the costs were determined and justify the need for the items. All purchases should be made through competitive bid or using established purchasing procedures. All items should be categorized in the following categories: Telephones / Communications Services, Internet Access, General Office Supplies, Food, Rent/Occupancy, Evaluation (non-contracted and non-personnel expenses), Utilities, Furniture, Postage, Software (including IT supplies), Dues/Subscriptions, Advertising, Printing/Copying, Equipment Maintenance, Professional Development/Staff Training, Conference Workshops/ Training Fees for Staff, Insurance, Program Materials, Program Supplies, Scholarships, and Program Incentives*

**Non-Capital Equipment:** *For items with a unit cost less than \$5,000 and an initial estimated useful life beyond a single year, explain each item to be purchased, how the costs were determined and justify the need for the items. All purchases should be made through competitive bid or using established purchasing*

procedures. For example, items such as computers, printers, projectors, etc. each with a unit cost less than \$5,000.

**Administrative/Indirect Costs:** Administrative costs are general or centralized expenses of overall administration of an organization that receives grant funds and does not include particular program costs. For organizations that have an established federally approved indirect cost rate for Federal awards, indirect costs mean those costs that are included in the organization's indirect cost rate. Such costs are generally identified with the organization's overall operation and are further described in 2 CFR 220, 2 CFR 225, and 2 CFR 230.

**Applicants must list either Option A or Option B and provide proper justification for expenses included:**

- ☐ **Option A - Administrative Costs:** with proper justification, sub grantees may include an allocation for administrative costs for up to 10% of the total direct costs requested of the grant request. Administrative costs may include allocable direct charges for: costs of financial, accounting, auditing, contracting or general legal services; costs of internal evaluation, including overall organization's management improvement costs; and costs of general liability insurance that protects the organization(s) responsible for operating a project, other than insurance costs solely attributable to the project. Administrative costs may also include that portion of salaries and benefits of the project's director and other administrative staff not attributable to the time spent in support of a specific project.

**OR**

- ☐ **Option B - Federally Approved Indirect Costs:** If your organization has a federally approved indirect cost rate agreement in place, grantees may include an allocation for indirect costs for up to 10% of the direct costs. **Applicants must provide a copy of their federally approved indirect cost rate agreement.**

Indirect costs are costs of an organization that are not readily assignable to a particular project, but are necessary to the operation of the organization and the performance of the project. The cost of operating and maintaining facilities, depreciation, and administrative salaries are examples of the types of costs that are usually treated as indirect.

Authorized signature\_\_\_\_\_ Date\_\_\_\_\_

## **Attachment G**

### **DISCLOSURE OF OTHER FUNDING SOURCES**

Please list all other funding that your organization currently receives from State or Public Agencies, Federal Agencies, Non-Profit Organizations, or any other source providing funding for the proposed Program\*. A.R.S. §8-1183 provides for a prohibition on supplanting of state funds by First Things First expenditures, meaning that no First Things First monies expended are to be used to take the place of any existing state or federal funding for early childhood development and health programs.

Use a continuation sheet if necessary. The following form may be reproduced with word processing software or another form may be created that contains all the information requested.

<b>Type of Funding (Federal, State, local, other)</b>	<b>Received From</b>	<b>Amount</b>	<b>✓ If used for match on this grant</b>
<b>TOTAL:</b>			

**\*This table should include only those funds that will support the program detailed in this Application.**

Authorized signature\_\_\_\_\_ Date\_\_\_\_\_

Job Title \_\_\_\_\_

## Attachment H

### FIRST THINGS FIRST FINANCIAL SYSTEMS SURVEY

Name of Applicant: \_\_\_\_\_

**Please answer every question by filling in the circle next to the correct answer. Attach materials and document comments as required.**

As stewards of federal and state funds, First Things First awards funds to organizations (regardless of how small or large) that are both capable of achieving project goals/objectives and upholding their responsibility for properly managing funds as they achieve those objectives.

This survey will be used primarily for initial monitoring of the organization. This survey may also be used in evaluating the financial capability of the organization in the award process. Deficiencies should be addressed for corrective action and the organization should consider procuring technical assistance in correcting identified problems.

#### A. GENERAL INFORMATION

1. Has your organization received a Federal or State Grant within the last two years?	<input type="radio"/> YES <input type="radio"/> NO
2. Has your organization completed an A-133 Single Audit within the past two years? If yes, please <b>attach</b> a complete copy of your A-133 Audit, including, but not limited to, your Management Letter, Findings and Questioned Costs.	<input type="radio"/> YES <input type="radio"/> NO
3. If your organization has not completed an A-133 Single Audit, have your financial statements been audited, reviewed or compiled by an independent Certified Public Accountant within the past two years? If yes, please <b>attach</b> a complete copy of the most recent audited, reviewed or compiled financial statements. NOTE THAT ONLY ONE COPY OF YOUR AUDIT NEEDS TO BE INCLUDED WITH THE APPLICATION MARKED "ORIGINAL". It is not necessary to include additional copies with each copy of the completed Application.	<input type="radio"/> YES <input type="radio"/> NO
4. Please <b>attach</b> a schedule showing the TOTAL federal funds (by granting agency) expended by your agency for the most recent fiscal year. Note: If your organization had an A-133 Single Audit, a copy of the "Schedule of Expenditures for Federal Awards" can be submitted. ONLY ONE COPY IS NEEDED, TO BE INCLUDED WITH THE APPLICATION MARKED "ORIGINAL"	<input type="radio"/> Not applicable for State of Arizona agencies
5. Has your organization been granted tax-exempt status by the Internal Revenue Service?	<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> N/A
6. If you answered YES to question #5, under what section of the IRS code? <input type="radio"/> 501 C (3) <input type="radio"/> 501 C (4) <input type="radio"/> 501 C (5) <input type="radio"/> 501 C (6) <input type="radio"/> Other  Specify: _____	
7. Does your organization have established policies related to salary scales, fringe benefits, travel reimbursement and personnel policies?	<input type="radio"/> YES <input type="radio"/> NO



**B. FUNDS MANAGEMENT**

1. Which of the following describes your organization's accounting system?	<input type="radio"/> Manual <input type="radio"/> Automated <input type="radio"/> Combination
2. How frequently do you post to the General Ledger?	<input type="radio"/> Daily <input type="radio"/> Weekly <input type="radio"/> Monthly <input type="radio"/> Other
3. Does the accounting system completely and accurately track the receipt and disbursements of funds by each grant or funding source?	<input type="radio"/> YES <input type="radio"/> NO
4. Does the accounting system provide for the recording of actual costs compared to budgeted costs for each budget line item?	<input type="radio"/> YES <input type="radio"/> NO
5. Are time and effort distribution reports maintained for employees working fully or partially on state or federal grant programs that account for 100% of each employee's time?	<input type="radio"/> YES <input type="radio"/> NO
6. Is your organization familiar with Federal Cost Principles (i.e., 2 CFR 220, 2 CFR 225, and 2 CFR 230)?	<input type="radio"/> YES <input type="radio"/> NO
7. How does your organization plan to charge common/indirect costs to this grant?  <b>NOTE:</b> Those organizations using allocable direct charges <b>must attach</b> a copy of the methodology and calculations in determining those charges. Those organizations using a federally approved indirect cost rate <b>must attach</b> a copy of the approval documentation issued by the federal government.	<input type="radio"/> Direct Charges <input type="radio"/> Utilizing an Indirect Cost Allocation Plan or Rate

**C. INTERNAL CONTROLS**

1. Are duties of the bookkeeper/accountant segregated from the duties of cash receipt or cash disbursement?	<input type="radio"/> YES <input type="radio"/> NO
2. Are checks signed by individuals whose duties exclude recording cash received, approving vouchers for payment and the preparation of payroll?	<input type="radio"/> YES <input type="radio"/> NO
3. Are all accounting entries and payments supported by source documentation?	<input type="radio"/> YES <input type="radio"/> NO
4. Are cash or in-kind matching funds supported by source documentation?	<input type="radio"/> YES <input type="radio"/> NO
5. Are employee time sheets supported by appropriately approved/signed documents?	<input type="radio"/> YES <input type="radio"/> NO
6. Does the organization maintain policies that include procedures for assuring compliance with applicable cost principles and terms of each grant award?	<input type="radio"/> YES <input type="radio"/> NO

**D. PROCUREMENT**

1. Does the organization maintain written codes of conduct for employees involved in awarding or administering procurement contracts?	<input type="radio"/> YES <input type="radio"/> NO
2. Does the organization conduct purchases in a manner that encourages open and free competition among vendors?	<input type="radio"/> YES <input type="radio"/> NO
3. Does the organization complete some level of cost or price analysis for every major purchase?	<input type="radio"/> YES <input type="radio"/> NO
4. Does the organization maintain a system of contract administration to ensure Grantee conformance with the terms and conditions of each contract?	<input type="radio"/> YES <input type="radio"/> NO
5. Does the organization maintain written procurement policies and procedures?	<input type="radio"/> YES <input type="radio"/> NO

**E. CONTACT INFORMATION**

Please indicate the following information. In the event that First Things First has questions about this survey, this individual will be contacted.

Prepared By: \_\_\_\_\_

Job Title: \_\_\_\_\_

Date: \_\_\_\_\_

Phone/Fax/Email: \_\_\_\_\_

**F. CERTIFICATION**

I certify that this report is complete and accurate, and that the Grantee has accepted the responsibility of maintaining the financial systems.

\_\_\_\_\_  
Authorized Signature

**G. COMMENT AND ATTACHMENTS**

Please use the space below to comment on any answers in Sections A – D. Please indicate the Section and Question number next to each comment.

Number of Attachments (please number each attachment): \_\_\_\_\_

COMMENTS:

**Attachment I**

**Data Collection Form**

Performance Measure	Plan for Data Collection	Plan for Using the Data	Quality Assurance

## Exhibit A

### Strategy Summary – Quality First Child Care Scholarships

STRATEGY SUMMARY	EVIDENCE / RESEARCH	CONSIDERATIONS FOR IMPLEMENTATION AND COST
<p>Quality First Child Care Scholarships are payments to early childhood providers for use by low income families to pay the full or partial cost of care for children five and younger. Scholarships benefit children, families, early care and education providers and communities.</p> <p>Quality First Child Care Scholarships are considered an ongoing commitment to help families afford higher levels of quality care and to support the achievement and maintenance of quality improvements.</p> <p><b>Child Care Scholarships will be available for all programs enrolled in Quality First Full Participation.</b> The number of scholarships and payment rate of scholarships are determined by the program size and Star Rating. Child care scholarships are a significant component of the financing model, providing access to quality early care settings for low-income children. Higher quality programs receive a higher reimbursement for each scholarship. (se Child Care Scholarship</p>	<p>Access to high quality early care and education is an important factor in school readiness, and is particularly important for high-risk children living in poverty.</p> <p>Most of the evidence for providing Scholarships rests on what we know about children who cannot access high quality early care and education programs. Without access, these children are less ready to begin and realize success in school and later in life.</p> <p>Lally, J. R. &amp; Signer, S. M. Introduction to Continuity. Available at: <a href="http://www.pitc.org/cs/pitclub/download/pitc_res/360/Introduction%20to%20Continuity.pdf?x-r=pcfile_d">http://www.pitc.org/cs/pitclub/download/pitc_res/360/Introduction%20to%20Continuity.pdf?x-r=pcfile_d</a></p> <p>Heckman, J.J. 2008. The Case for Investing in Disadvantaged Young Children. In: Big Ideas for Children: Investing in Our Nation's Future. Available at: <a href="http://www.firstfocus.net/sites/default/files/r.2008-9.15.ff_.pdf">http://www.firstfocus.net/sites/default/files/r.2008-9.15.ff_.pdf</a></p> <p>Shonkoff, J. P. &amp; Phillips, D.A. (2000). From Neurons to Neighborhoods: the Science of Early Childhood Development. National Academy Press. Washington, DC.</p>	<p>Quality First Child Care Scholarships, an access and affordability strategy, is integrated into Quality First, FTF's signature Quality Rating and Improvement System. Regional Councils that fund Quality First will also fund QF Child Care Scholarships for all QF enrolled programs. Regional Partnership Councils may elect to fund additional scholarships above what is available in the QF package. However, Councils should consider whether it is most effective in building a high quality system to fund additional Quality First participants, who will receive scholarships, or additional scholarships for programs already in Quality First or on the wait list.</p> <p>The maximum number of scholarships available to a Quality First enrolled provider is based on its star rating, location in the state and the licensed capacity for children 5 and younger (see Table on page 3).</p> <p>Regions with this strategy will also need to consider the percentage of their early care and education programs that have applied for and are participating in Quality First, since that is a prerequisite for receiving child care scholarships.</p> <p>Regional Councils may choose to fund more scholarships than those included in the Quality First package. When deciding on the number of additional scholarships per Quality First enrolled provider, Councils may fund no more that double the maximum amounts per center rating and size. <b>If a Council chooses to fund additional scholarships, rather than more Quality First programs, it should show clear justification for this decision.</b> It should also consider the sustainability of those numbers over time and the consequences to providers of becoming overly dependent on this funding to support their services.</p>

<p>Allotment Table below)</p> <p>Scholarships are most often used for full-time care although they can be used for part-time care if a child is attending 20 hours or less per week or when a part-time model meets the needs of the families.</p> <p>Family income is used in determining eligibility and may not exceed 200% of the federal poverty level.</p>		<p>Quality First Child Care Scholarships will be aligned with high quality programs as indicated by a 3 – 5 Star Rating. This expectation will be phased in as indicated below:</p> <p><b>FY2014</b>, Scholarships <b>will not be available</b> to programs on the Quality First Wait List.</p> <p><b>FY2015</b>, scholarships <b>will not be available</b> to programs with a star rating of 1.</p> <p><b>FY2016 scholarships will not be available</b> to programs with a star rating of 1 or 2.</p> <p><b>Any decrease in scholarships should only occur through attrition.</b> Every effort will be made to reduce the impact on both the families receiving the scholarships and the providers which rely upon them for ongoing financial support.</p> <p>The administrative home for this strategy coordinates the program beginning with outreach to providers, contracting and providing monthly funding to providers, data collection, and evaluation. This strategy is easily expanded throughout the state. The current administrative home contract is for FY2012 is renewable for one additional year.</p> <p>One administrative home will administer all scholarship programs – child care and pre-kindergarten – throughout the state.</p> <p>Other factors for consideration by Regional Councils include:</p> <ul style="list-style-type: none"> <li>• Utilization of scholarships during previous years and numbers of families and providers receiving scholarships.</li> <li>• Possibility of philanthropic, corporate, public school, or private sources available to participate as partners to also provide scholarships in order to support access to quality programming for children in low income families.</li> </ul>
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## Exhibit B

### Strategy Summary – Pre-Kindergarten Scholarships

STRATEGY SUMMARY	EVIDENCE / RESEARCH	CONSIDERATIONS FOR IMPLEMENTATION AND COST
<p>Pre-kindergarten Scholarships provide funding and technical assistance for high quality, part- or full-time, classroom-based early education for children ages 3 and/or 4 years of age from low-income families (200% of Federal Poverty Level (FPL) or below). Children may be enrolled in public or private schools or community-based early care and education programs.</p> <p>Currently Pre-kindergarten providers, both public schools and community-based programs, are required to apply for, enroll in and/or be rated through Quality First. A number of the programs are already enrolled in Quality First Improvement.</p> <p>High quality is defined as achieving 3, 4 or 5 Stars on the Quality First Rating Scale. To participate, programs must already have a Quality First Star Rating (for start up programs, please see the Expansion-Start Up strategy summary). Additional standards related to</p>	<p>Multiple longitudinal studies show that investments in high-quality pre-kindergarten programs improve both short- and long-term outcomes for children. These outcomes include school success, high school graduation, college attendance and improved earnings.<sup>2</sup> Negative outcomes are reduced, such as involvement in the criminal justice system, grade repetition and high school dropout rates.<sup>3</sup></p> <p>This research finds that positive outcomes do not occur when quality is diluted.<sup>4</sup></p> <p>A recent publication lays out the evidence for a pre-kindergarten model which produces school readiness and life impacts. “The Pre-K Debates: Current Controversies &amp; Issues,” Edward Zigler, Walter S. Gilliam and W. Steven Barnett, Brooks Publishing, (2011).</p> <p>A Pre-K research paper released in November 2011 notes these effects:  <b>Pre-k has significant, persistent benefits.</b>  Research has consistently shown that quality</p>	<p>After identifying a need for high quality Pre-Kindergarten classes in the region, a Council should first determine the number of children to be served, the age of the children (3-5 or 4-5) and the length of program day needed by families in the region. Then the part or full time cost can be determined.</p> <p>In FY13 one administrative home will administer all scholarship programs – QF Child Care and Pre-kindergarten – throughout the state. This will maximize efficiency, accountability and program oversight of the contract, data reporting, outreach and communication with constituents and financial disbursements. Current Pre-K Scholarships directly funded from FTF to public school districts will be grandfathered through FY2013, but will transition to the scholarship administrative home in FY2014. Tribal regions will be considered on a case-by-case basis to determine the most appropriate funding structure.</p> <p>A separate contract will provide the technical assistance and mentoring to maintain a direct link between public</p>

<sup>2</sup> Ramey, C.T., Ramey, S.L. & Stokes, B.R. (2009). Research evidence about program dosage and student achievement. In Pianta, R. C. & Howes, C. (Editors) *The Promise of Pre-K*. Brooks Publishing: MD

<sup>3</sup> Reynolds, A.J., Temple, J.A., White, B.A., Ou, S., & Robertson, D.L. (2011). Age 26 cost-benefit analysis of the Child-Parent Center early education program. *Child Development*, 82 379-404.

<sup>4</sup> Barnett, W.S., Lamy, C., & Jung, K. (2005) *The Effects of state prekindergarten programs on young children’s school readiness in five states*. New Brunswick, NJ: National Institute for Early Education Research. Retrieved January 3, 2011, from <http://nieer.org/resources/research/multistate/fullreport/pdf>.

<p>parent engagement and transition to kindergarten are included in the Standard of Practice</p> <p>This strategy supports those children who may not otherwise have access to high quality early care and education during the two years prior to their kindergarten entry. Inherent in this strategy is the principle that all families, regardless of income, children’s abilities or other factors have the right to access a high quality early childhood program. Ensuring that all children have such access requires the use of a “mixed delivery” system of early care and education. In utilizing a mixed delivery system, this strategy supports access to a wide array of program types, including public school programs as well as private, for-profit programs, and non-profit programs.</p> <p>This strategy also recognizes the importance of the link between pre-kindergarten programs and kindergarten, which is reinforced by a technical assistance/mentoring component designed to ensure the communication and connections between pre-kindergarten and kindergarten programs as they develop and implement a transition plan for children and their families. The program year for Pre-K may follow the school year or operate for 10, 11 and even 12 months.</p>	<p>pre-kindergarten programs benefit not only individual students, but school districts and communities. Nobel-Prize-winning economist James Heckman estimates that every dollar spent on early childhood education returns 10 cents annually over the life of a child (Heckman 2011).</p> <p><b>A combination of pre-k and full-day kindergarten is best; but a combination of pre-k and half-day kindergarten is better than full-day kindergarten alone.</b></p> <p>Pre-k and full-day kindergarten presents the best combination. However, we looked to see what combination of other options would be best. In particular, this study focused on two combinations -- no pre-k and full-day kindergarten vs. pre-k and half-day kindergarten—and found that a combination of pre-k and half-day kindergarten was significantly better. Some highlights:</p> <ul style="list-style-type: none"> <li>• Students who attend pre-k and half-day kindergarten are more likely to have higher reading skills by the third grade than students who attend full-day kindergarten alone.</li> <li>• The impact of pre-k and half-day kindergarten was the greatest for Hispanic children, black children, English Language Learners (ELL) and children from low-income families.</li> </ul>	<p>schools and community-based early childhood providers, facilitate transition activities and engage families as their children transition to kindergarten. (See Standard of Practice for Pre-Kindergarten Scholarships)</p> <p><b>Regional councils should calculate the cost of the scholarships, then add 11% for administrative and mentoring costs.</b></p> <p>In some regions a period of start-up may be required before a setting is ready to enroll children. Start-up which includes just technical assistance and mentoring in preparation for becoming licensed by DHS, hiring qualified staff, setting up the environment or understanding quality standards may be provided through the administrative home providing the Transition Liaison or Mentor. Start-up which involves capital improvements, renovations or major purchase of equipment must follow the Standards of Practice and Policy on Capital Expenditures for the Expansion: Slots and Capital Expense strategy. <b><i>Please review the Expansion-Start Up Strategy Summary for additional information on funding start up programs.</i></b></p> <p><b>Quality First Participation is required for all programs receiving Pre-K Scholarships. Programs must have a star rating of 3 Stars or above to participate in the Pre-K Scholarship strategy.</b></p> <p>For program sites unable to attain a 3-5 star rating by fy14, it may be an option to participate as a Quality First full participation site, with Child Care Scholarships, depending upon the availability of funded opportunities. Regional Councils will be considering</p>
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	<p><b>Early childhood education should be collaboration</b> between providers, schools, school boards, and the community. Close collaboration with communities, especially parents, Head Start, and other early childhood providers, is necessary in order to develop programs that best meet the community’s needs.<sup>5</sup></p> <p>In estimating the costs of early childhood programs, “Meaningful Investments in Pre-K: Estimating the per-Child Costs of Quality Programs,” published by the institute for women’s Policy Research (2008). Available at: <a href="http://www.iwpr.org/publications/pubs/meaningful-investments-in-pre-k-estimating-the-per-child-costs-of-quality-programs">http://www.iwpr.org/publications/pubs/meaningful-investments-in-pre-k-estimating-the-per-child-costs-of-quality-programs</a></p> <p>Research has also been done to determine effective kindergarten transition strategies, including Downer, J. (undated). <b>Successful Kindergarten Transitions: Developing a Community Action Plan</b> [PowerPoint slides]. Retrieved from Arizona Department of Education</p> <p>Evaluation of the North Carolina More at Four Pre-Kindergarten Program. (2008). Available at: <a href="http://www.fpg.unc.edu/~mafeval/pdfs/year_7_key_findings.pdf">http://www.fpg.unc.edu/~mafeval/pdfs/year_7_key_findings.pdf</a></p>	<p>these options for funding during the planning cycles each fiscal year. See the attached Pre-K Scholarship Guidance document for further information on funding scholarships for programs that do not achieve a 3 – 5 Star Rating.</p> <p>Regions are encouraged to explore leveraging of funds, matching funds, philanthropic, corporate, or private pay sources to cover the cost of scholarships or to fund additional children.</p>
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<sup>5</sup> Kelleher, M. *Starting out right: pre—k and kindergarten: full report*. November 2011, from <http://www.centerforpubliceducation.org/Main-Menu/Organizing-a-school/Starting-Out-Right-Pre-K-and-Kindergarten/Starting-Out-Right-Pre-K-and-Kindergarten-full-report.html>



## **Exhibit C**

### **Standard of Practice – Quality First Child Care Scholarships**

#### **I. Description of Strategy**

First Things First has identified a need to improve the access and affordability of high quality early care and education in Arizona for children five and younger. Quality First is the First Things First quality improvement and rating system for ensuring that standards of quality which lead to optimal outcomes for children are met. The Quality First Child Care Scholarships strategy is one financing mechanism to provide both access and affordability for children in low-income families to those early care and education settings demonstrating a commitment to improving and maintaining quality.

Quality First Child Care Scholarships are payments to early childhood providers participating in or those that have applied for Quality First for the full or partial cost of care for children five and younger. As of July 1, 2012, all Quality First participants are automatically awarded Quality First Child Care Scholarships. (There are some exceptions when scholarships are not needed because all children attend a program free of charge.) The number of scholarships and amount of funding are based upon the program's size, location and star rating. Child care scholarships benefit children, families, early care and education providers and communities.

#### **Benefits to Young Children**

Access to quality early care and education programs can result in social, developmental and health benefits to young children that help to prepare them for later success in school and in life. Quality early care experiences in stable out-of-home settings help young children develop strong attachments to caregivers and teachers, in addition to their parents. These attachments set the stage for future relationships throughout a child's life. Scholarships support continuity of care for children so that previously formed supportive relationships with caregivers can remain in place. Research shows that children thrive in the care of familiar, skilled caregivers who play a significant role in their lives and on whom they count for consistency, feelings of security, belonging and love. Continuity of care is particularly important for infants and toddlers, as they are in the developmental stages of building basic trust and a sense of self.<sup>6</sup> Disruptions in care, particularly those that are abrupt and result from changes in child care settings or caregivers, are minimized with the use of Quality First Child Care Scholarships. By connecting child care scholarships to quality settings, children receive the cognitive and social supports they need and that have been shown to be the determinants of future success.

#### **Benefits to Families**

The high cost of early care and education is one of the most difficult obstacles to obtaining and maintaining employment for many low-income families. Particularly vulnerable families, such as single parents, teen parents, grandparent caregivers and families with incomes less than 200% of the Federal Poverty Guidelines (FPL), find quality early care and education beyond the reach of their limited budgets.

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<sup>6</sup> Lally, J. R. & Signer, S. M. Introduction to Continuity. *WestEd, The Program for Infant/Toddler Care*. Available at: [http://www.pitc.org/cs/pitc/lib/download/pitc\\_res/360/Introduction%20to%20Continuity.pdf?x-r=pcfile\\_d](http://www.pitc.org/cs/pitc/lib/download/pitc_res/360/Introduction%20to%20Continuity.pdf?x-r=pcfile_d)

Quality child care is costly due to factors such as low staff to child ratios, small group sizes, employment of experienced professionals with early education degrees, higher wages to compensate staff for education and experience, and early learning environments and curricula designed to maximize the social and developmental needs of children.

### Benefits to the Early Care and Education Provider

Dramatic decreases in enrollment, increasing costs, and decreased child care subsidy reimbursements have resulted in severe financial pressures experienced by child care providers in both center- and home-based settings. Quality First Scholarships offer a reliable revenue source that contributes to the financial stability of regulated providers. With improved financial stability, centers and homes have the increased ability to retain staff, which contributes to the stability of the environment and quality of care to enrolled children.

### Benefits to Communities

Early care and education providers serve an important function in communities throughout Arizona. Not only do they provide a safe, nurturing and educational environment for young children, they also play a pivotal role in supporting working parents. In addition, early care and education providers contribute to the economy by employing some 15,000 individuals in Arizona<sup>7</sup> thereby contributing to both the local and state tax base. Quality First Child Care Scholarships support the healthy development and learning of young children, keep parents working, and support the services provided by the early childhood field – all factors that contribute to the economic viability of communities all across Arizona.

Note: This strategy is implemented through an administrative home that is responsible for oversight of all standards.

## **II. Standards of Practice**

### **A. Implementation Standards of Administrative Home and Direct Service Provision**

- 1. Program Quality:** First Things First determines the quality of an early care and education provider through Quality First, Arizona's quality improvement and rating system. The standards in Quality First are evidence-based and included in nationally developed and recognized assessment instruments which measure indicators of quality, such as a safe and healthy environment, well-qualified and experienced staff, a developmentally and culturally appropriate environment that is child centered and promotes learning, low staff to child ratios to promote individualized attention, limited group sizes based upon children's ages, and meaningful family involvement. Quality in this system is defined as the attainment of 3-5 stars in the Quality First 5 Star Rating System.
- 2. Target Population:** Quality First Child Care Scholarships improve access and affordability to high quality early education programs for low-income children who are under age 5 on or before

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<sup>7</sup> Arizona Workforce Informer. (2012) Arizona Cooperative Extension, The University of Arizona. Available at: <http://www.workforce.az.gov>

September 1 of the program year and not yet enrolled in kindergarten. Low income is defined at 200% or less of the Federal Poverty Level (FPL).

- 3. Inclusion of Children with Special Needs:** Children with special needs are defined here as children with an Individualized Education Program (IEP), Individualized Family Service Plan (IFSP), or other professionally diagnosed educational disability; or a child has a 504 plan or individual health plan (IHP), or 504 Plan by a medical professional. Early childhood inclusion in high quality early care and education programs focuses on access, participation and supports for all children. Inclusion embodies the values, policies, and practices that support every child and his or her family, regardless of ability, to participate in a broad range of activities and context as full members of society.<sup>8</sup>
- 4. Continuity of Care:** Quality First Child Care Scholarships are designed to minimize disruptions in care and avoid unnecessary transitions on and off scholarships. Careful planning of continuous funding from one year to the next will assure that children and families do not receive and then lose scholarships suddenly, or that early care and education providers receive intermittent support that is not a reliable foundation upon which to build quality programming.
- 5. Level of Funding:** In order to support continuity in a child's development and learning, Quality First Child Care Scholarships, along with family contributions to the cost of care and education, are calculated with the assumption that the child will be enrolled full time in the early care and education setting. However, First Things First also recognizes that some families require part-time or part-year services for their children; therefore, two part-time children may share one full time scholarship as long as together they do not exceed the hourly equivalent of one scholarship.
- 6. Child Care Scholarship Rates:** In order to support quality services and to provide reliable funding for participating providers, maximum rates for Quality First Child Care Scholarships will be based upon the most recent available information about the cost of early care and education. Rates reflect statewide and local costs.
  - a. Working within the maximum rate provided through Quality First Child Care Scholarships, individual providers shall not charge more than their usual and customary rate. The scholarship and family copayment may add up to, but not exceed, the customary rate.
  - b. Providers serving families with needs outside of traditional hours will receive the same scholarship benefits as those with traditional hours, with adjustments made to daily rates based on traditional care equivalents (example: a parent working three 12 hour days will benefit from a full scholarship just as a parent working five, 8 hour days).
- 7. Child Care Provider Scholarship Eligibility:** Quality First Child Care Scholarships improve both access and affordability to high quality early care and education. A designated administrative home has the responsibility for monitoring and verifying that an early care and education program meets the following eligibility criteria to receive the scholarships:

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<sup>8</sup> Watson, Amy & McCathren, Rebecca (2009). Including Children with Special Needs. *Young Children*. Volume 64: 1-7.

- a. Complies with requirements of the appropriate certifying, licensing or regulatory authority or authorities (Local, State, Federal, Tribal or Military) and remains in good standing with those authorities; and
- b. Is enrolled in Quality First, or has applied for Quality First and does not decline an opportunity to participate.
  - i. After July 1, 2013, early care and education programs not enrolled in Quality First will not qualify to receive Quality First scholarships.
  - ii. After July 1, 2014, programs not enrolled or enrolled but rated 1 star will not qualify to receive QF scholarships. Programs that are newly enrolled after July 1, 2013 who achieve a 1 star rating will not be eligible for Quality First Child Care Scholarships.
  - iii. After July 1, 2015, programs not enrolled or enrolled but rated 1-2 stars will not qualify to receive Quality First scholarships. Programs that are newly enrolled after July 1, 2014 who achieve a 2 star rating will not be eligible for Quality First Child Care Scholarships.

- 8. Target Scholarship Numbers:** Financing for early care and education programs must be leveraged and braided from a variety of revenue sources such as child care subsidy, parental fees, the Child and Adult Care Food Program, federal, local and private grant funding, and fundraising in order to serve more children. Quality First Child Care Scholarships are not intended to comprise the sole or majority funding source for any participating provider. The target number of scholarships available to any one Quality First provider is based on the program's star rating and the licensed capacity of child care slots for children 5 and younger and the geographical region of the state. The number and amount of the scholarships increase as the Quality First star rating increases.

Additional scholarships can be no more than double the target amounts per center rating and size and must be funded by the Regional Council. Exceptions may be allowed to award additional scholarships beyond double the target in situations such as, but not limited to, Pre-Kindergarten classrooms or Tribal areas. As Regional Councils begin funding planning, First Things First will publish the target scholarship awards available in the upcoming fiscal year to enrolled programs based on size and rating.

- 9. Child and Family Eligibility:** Quality First Child Care Scholarships target children in low-income families. Living in families that may be struggling to survive, children are particularly vulnerable to insecurity in food, housing and other basic need areas. These challenges, in turn, can negatively affect a young child's development. Enriched early learning environments can help to overcome these challenges.<sup>9</sup> The following guidelines apply:

- a. Eligibility for Quality First Child Care Scholarships is limited to children ages 5 and younger and not yet in kindergarten.
- b. Eligible children have families with incomes at or below 200% of the most recent Federal Poverty Guidelines (FPG).
- c. Scholarships are child-focused and, thus, are available without regard to the circumstances under which families require care.

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<sup>9</sup> Heckman, J.J. (2008). James J. Heckman, 2008. The Case for Investing in Disadvantaged Young Children. [CESifo DICE Report](http://www.cesifo-group.de/portal/pls/portal/docs/1/1192974.PDF), Institute for Economic Research at the University of Munich, vol. 6(2), pages 3-8. Available at: <http://www.cesifo-group.de/portal/pls/portal/docs/1/1192974.PDF>

- d. Financial eligibility is determined on an annual basis.
- e. Due to limited funding and high demand, Quality First Child Care Scholarships are limited to two (2) per family.

**10. Copayments:** It is the intent of First Things First that families, whenever possible, contribute toward the cost of child care and that this contribution not exceed 10% of their gross household income.

**B. Staff Qualifications, Supervision and Professional Development Standards of Administrative Home**

- 1. Staff Qualifications:** Administrative home programmatic and finance staff demonstrate knowledge and experience managing large dollar grants and the complexities of implementing contracts, fiscal reimbursements, and compliance across program recipient sites. Staff should demonstrate an understanding of early care and education from the perspective of children, families and providers. Typically, individuals with advanced academic degrees possess these attributes.
- 2. Supervision:** Effective, consistent supervision ensures accountability to participants, funders and the community.
- 3. Professional Development:** Professional development plans ensure that staff members continue to build their skills and abilities to ensure program quality.

**C. Organizational Standards of Administrative Home**

- 1. Continuous Improvement:** In order to ensure maximum program effectiveness, the administrative home engages in ongoing improvement of the quality of services and processes and is responsive to lessons learned over time.
- 2. Marketing and Public Awareness:** To increase recognition of First Things First funded strategies, the administrative home engages in public awareness activities in coordination with the First Things First Communications Department and use of the First Things First Style Guide. It maintains a website which provides information about the sites receiving Quality First Child Care Scholarships and allows for on-line enrollment in the scholarship program by Quality First participants.
- 3. Organizational Capacity:**
  - a. Quality First Child Care Scholarships are implemented statewide in regions that fund Quality First, and additionally, in multiple First Things First regions across Arizona that provide supplemental funding for Quality First Scholarships.
  - b. Varying types and sizes of community-based early care and education providers receive Quality First Child Care Scholarships including small and group home family providers, non-profit providers, for-profit providers, and other early care and education providers. Some providers will require support in languages other than English.
  - c. The administrative home must have the business capacity to:
    - respond to provider and public inquiries,
    - develop individual binding agreements with Quality First providers,
    - issue a federal form 1099 to each provider and require documentation of all information related to family eligibility, provider reporting, scholarship amounts, and reimbursement requests, and

- assure accountability through mechanisms such as random and planned audits on a minimum of 10% of contracted providers throughout the contract year.

#### **D. Cultural Competency Standards of Administrative Home**

Programs will also implement the following best practices and standards related to Cultural Competencies:

- To address cultural competency objectives, early childhood practitioners /early childhood service providers shall ensure that children and families receive from all staff members and program participants effective, understandable, and respectful care that is provided in a culturally competent manner. Early childhood practitioners /early childhood service providers should ensure that staff and participants at all levels and across all disciplines receive ongoing education and training in culturally and linguistically appropriate service delivery. Early childhood practitioners/early childhood service providers should develop participatory, collaborative partnerships with communities and utilize a variety of formal and informal mechanisms to facilitate community and family-centered involvement to ensure that services are delivered in a manner that is consistent with the National Standards on Culturally and Linguistically Appropriate Services and/or the National Recommendations on Cultural and Linguistic Competence for the National Association for the Education of Young Children.”  
<http://minorityhealth.hhs.gov/templates/browse.aspx?lvl=2&lvlID=15>  
<http://www.naeyc.org/positionstatements/linguistic>
- Service providers should understand individual Tribes/Nations are distinct and separate communities from other Tribes/Nations and their governmental systems and structures are not reflective of each other. Services to Tribal communities and on reservations must be provided in a manner compatible with the Tribe’s/Nation’s cultural beliefs and practices, to include the preferred language of the community. Services must also be provided in accordance with the Tribe’s/Nation’s laws, policies and procedures. The effectiveness of services is directly related to the provider’s consideration of the beliefs, customs and laws of the Tribe/Nation.
- Service providers can obtain information about providing services on tribal lands from a variety of sources. These include the FTF Regional Director, Regional Council members, tribal websites and publications, as well as official representatives of the Tribe/Nation such as the governing body, standing committees and authorized departments.
- It is highly recommended that service providers seek guidance from one or more of these sources before initiating services on reservations. Failure to do so could result in contraventions of cultural beliefs, Tribal laws or sovereignty.
- The ideal applicant will demonstrate their ability to operate within these parameters through prior experience working with Tribes/Nations, demonstrating that staff are culturally competent, partnerships with agencies serving Native American families, knowledge of cultural beliefs, customs and laws of the Tribe/Nation or a combination of these elements.
- Related to data collection, evaluation or research activities:
  - In the United States, Native American Tribes are considered autonomous nations with all of the rights and responsibilities of a nation. Understanding this, Native American Tribes are charged with protecting the health and safety of their people. To this end, Tribes have full ownership over any data collected within their reservation boundaries. This means that Tribes can allow or not allow any program to collect data from or related to any early childhood development and health program or activities on the reservation.

- Any grantee implementing programs in tribal communities must have official tribal permission to collect and utilize sensitive data from or related to any early childhood development and health program or activities.

**Standard of Practice – Pre-Kindergarten Scholarships**

**I. Strategy Description**

First Things First has identified a need to increase the number of children who receive high quality early care and education services in order to improve young children’s success in school and in life. High quality early childhood services are strongly linked to both academic and life-skills success among children, especially those from families with several risk factors such as low income and low educational levels of parents and/or caregivers. This regionally-funded Pre-Kindergarten strategy addresses the identified need by allocating scholarships to support children receiving high quality, early care and education in a center or classroom based setting. Funding will support programming for those children who may not otherwise have access to high quality early care and education during the two years prior to their kindergarten entry.

Inherent in this strategy is the principle that all children, regardless of family income, or other factors, should have access to a high quality early childhood program if their family desires. Ensuring that all children have such access requires the use of a “mixed delivery” system of high quality early care and education that includes a wide array of program types, such as public school and Bureau of Indian Affairs programs as well as private, for-profit, non-profit, Head Start and faith based programs. By implementing a mixed service delivery system, families whose children need part day, full day, school based or center based services which promote early learning can find and participate in those programs. With multiple options, families with infants and toddlers as well as preschoolers targeted in this strategy can access services at a single location. Spreading investments across a variety of early childhood education program types also improves the stability of funding through higher enrollment numbers that, in turn, support quality improvement and quality maintenance for participating partners.<sup>10</sup> Therefore, this strategy includes methods by which high quality early care and education programs work collaboratively to provide services to preschool aged children in various settings in the community.

Pre-Kindergarten Scholarship programs collaborate with their public and private community partners in order to assure effective transitions from one program to another, meet standards for sensory and developmental screening, implement parent education and other community events and engage in professional development opportunities.

In order to ensure the high quality and systemic approach that is necessary to achieve readiness for success in kindergarten and later school, this strategy also includes a mentoring component. Mentors provided by the administrative home will assist programs to form community partnerships and facilitate collaboration between private providers and public schools, leverage resources and share in professional development activities.

**II. Program Quality Standards**

The standards listed below are applicable to the various roles assumed by administrative homes, public school settings and community based early care and education providers.

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<sup>10</sup> Schulman, K. & Blank, H. (2007). A Center Piece of the PreK Puzzle: Providing State Prekindergarten in Child Care Centers. National Women’s Law Center.



High quality pre-kindergarten is demonstrated by such indicators as a safe and healthy environment, well-qualified and experienced staff, a developmentally and culturally appropriate environment that is child centered and promotes learning, low staff to child ratios combined with limited group sizes, meaningful family engagement and a clear and well-implemented plan for transition from pre-kindergarten to kindergarten programs. Adherence to these quality standards is defined in Arizona's early care and education system as achieving a Quality First rating of 3 stars or higher. These Quality First standards were developed to align to the state's *Program Guidelines for High Quality Early Education: Birth Through Kindergarten*.<sup>11</sup> Incorporated into the Quality First standards are requirements for understanding and using the state's *Early Learning Standards* (for children age 3 -5 years).<sup>12</sup>

In addition to the Quality First rating of 3 stars or higher, programs funded through this strategy must meet higher quality standards in the following areas:

#### Curriculum Standard

Research has found that "while no single curriculum or pedagogical approach can be identified as best, children who attend well-planned, high-quality early childhood programs in which curriculum aims are specified and integrated across domains tend to learn more and are better prepared to master the complex demands of formal schooling."<sup>13</sup> To ensure curricula approaches are used that meet the individual developmental needs of children by providing intentionally designed instructional support, the following standards are required:

1. Curriculum is designed around children's interests and needs and aligns clearly with the *Arizona Early Learning Standards* (for 3 – 5 year old children). Comprehensive models that align with Arizona's state standards and use ongoing assessment to inform instructional support are given priority over structured curricula with specifically outlined and prescribed lesson plans focused only on one developmental domain, such as language and literacy.
2. All programs receiving Pre-Kindergarten Scholarships must follow the guidance provided by the *Arizona Guidelines for High Quality Early Education Programs Birth to Kindergarten*.
3. All program personnel working with children will receive training facilitated by the administrative home on using the *Arizona Early Learning Standards* (for 3 – 5 year old children) and the *Arizona Guidelines for High Quality Early Education Programs Birth to Kindergarten*. They must link curriculum to the Common Core standards as they are incorporated into the revised *Early Learning Standards* (revision to occur in 2013).

#### Child Screening Standard

Early identification of children with special needs ensures that young children receive the services and supports necessary to maximize their opportunities for healthy development and learning. School districts are required by statute to "...identify, locate, and evaluate all children with disabilities within their geographic boundaries who are in need of special education and related services" (§300.111 Child Find).<sup>14</sup> Screening activities are a first step in the identification process. Therefore, it is imperative that a

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<sup>11</sup> Developmental Guidelines for High Quality Early Education: *Birth Through Kindergarten*. (2010) Arizona Department of Education and First Things First.

<sup>12</sup> Arizona Early Learning Standards. (2005) Arizona Department of Education.

<sup>13</sup> Bowman, B.T., Donovan, M. Suzanne, Burns, M. Susan (2001). Eager to learn: Educating our Preschoolers. *National Academy Press (U.S.)*.

<sup>14</sup> Individuals with Disabilities Education Act (IDEA). (2004)

comprehensive screening procedure be in place to ensure children are identified and receive the supports they need.

1. All children will receive comprehensive developmental and sensory (vision and hearing) screening within the first 45 calendar days of the first day of attendance in the program in accordance with First Things First Developmental and Sensory Screening Standards of Practice.
2. Comprehensive screening must include the developmental domains of children's cognitive, physical, language/communication, social/emotional and adaptive behavior, as well as sensory screenings for vision and hearing. Pre-kindergarten programs are encouraged to conduct more in-depth social-emotional screenings in the context of children's daily activities and routines, as well as solicit family input.
3. Screening will be conducted in partnership with the local school district(s) to ensure coordinated and seamless efforts are maintained, and appropriate referrals for evaluation are made in a timely manner.
4. Program staff conducting screening, whether at school districts, Head Start programs, or other community based programs, have either the training or support they need to ensure that screening takes place within the timeframe and in a developmentally appropriate manner. Screening will be conducted only by those who have been trained to administer screening instruments or methods.
5. Follow up referrals and activities that are initiated to secure appropriate services will be documented and tracked to ensure that families receive the information and/or services necessary.

#### Child Assessment and Ongoing Program Monitoring Standard

Ongoing monitoring of children's progress for the purpose of guiding instruction and making curricular decisions is a critical part of high-quality programming. Formative assessment activities, including using observation, collecting work samples, and gathering family input are a requirement of this funding opportunity.

1. All programs participating in this opportunity shall use the Arizona State Board of Education approved instrument and system, Teaching Strategies Gold, for documenting and reporting children's progress.
2. Child assessment data from Teaching Strategies Gold will be entered into the on-line assessment system.
3. Training in appropriate use of Teaching Strategies Gold is required for all staff of pre-kindergarten programs funded through this agreement who have not been previously trained on the instrument. This training will be provided by the administrative home.

#### Staff-to-Child Ratio and Class Size Standard

Low ratios of children to adults and limited group sizes are correlated with higher overall quality programs and improved outcomes for children, including lower rates of illness, more positive child/staff interactions,

and improved school readiness and mental health.<sup>15</sup> According to Bowman et. al. (2000), low ratios of children to adults are associated with more extensive teacher-child interaction, more individualization, and less restrictive and controlling teacher behavior. Smaller group size has been associated with more child initiations and more opportunities for teachers to work on extending language, mediating children's social interactions, and encouraging and supporting exploration and problem solving.

Programs receiving Pre-Kindergarten Scholarships are required to maintain a ratio and group size that meets the six point level on the Quality First Points Scale. This means that:

1. Classrooms for four year olds exclusively may not exceed a staff to child ratio of one to ten, and class size may not exceed 20 children;
2. Classrooms for three year olds exclusively or mixed age classrooms including three year olds may not exceed a staff to child ratio of one to nine, and class size may not exceed 18 children; and
3. Inclusive settings that include children with disabilities will adjust their ratios and group size to a lower level in accordance with the specific disabilities and/or needs of the children present. At maximum, they may not exceed a staff to child ratio of one to nine and class size of 18 children.

#### Director/Administrator Education and Qualifications Standard

1. At a minimum, directors/administrators (those responsible for the direct supervision of the program and staff (may include principal, program coordinator, director or owner) must hold a Bachelor's degree in Early Childhood, Child Development, Family Studies, or Early Childhood Special Education OR hold a principal's certificate through the Arizona Department of Education.
2. Areas of knowledge and competencies must include:
  - a. Curriculum Development and Planning
  - b. Administration and Management of Early Care and Education Programs
  - c. Leadership Development
  - d. Developmentally Appropriate Practices
  - e. Children's Health and Safety, including Licensing Rules and Regulations
  - f. *Arizona Early Learning Standards* (for 3 – 5 year old children)
  - g. *Arizona Guidelines for High Quality Early Childhood Programs Birth to Kindergarten*

#### Teacher Education and Qualifications Standard

1. At a minimum, Pre-Kindergarten lead teachers must hold a Bachelor's degree in Early Childhood, Child Development, or a related field recognized by the Quality First Point Scale.
2. Staff should have the following areas of knowledge and competencies in:
  - a. Typical/atypical child development
  - b. Developmentally Appropriate Practices
  - c. Classroom management

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<sup>15</sup> Reynolds, A.J., Temple, J.A., White, B.A., Ou, S., & Robertson, D.L. (2011). Age 26 Cost-Benefit Analysis of the Child-Parent Center Early Education Program. *Child Development*, 82 379-404.

- d. Curricular planning and design
  - e. Early childhood child assessment
  - f. Children's health and safety standards
  - g. *Arizona Early Learning Standards* (for 3 – 5 year old children)
  - h. *Arizona Guidelines for High Quality Early Childhood Programs Birth to Kindergarten*
2. To address cultural competency objectives, Pre-kindergarten teachers shall ensure that children and families receive effective, understandable, and respectful services that are provided in a culturally competent manner compatible with the families' cultural beliefs and practices and preferred language. Pre-Kindergarten staff should receive ongoing education and training in culturally and linguistically appropriate service delivery. They should develop participatory, collaborative partnerships with other providers and their communities and utilize a variety of formal and informal mechanisms to facilitate community and family-centered involvement as they implement the cultural and linguistically appropriate program standards in the *Arizona Guidelines for High Quality Early Childhood Programs Birth to Kindergarten* and the *National Standards on Culturally and Linguistically Appropriate Services*.<sup>16</sup>
  3. All program personnel will participate in continuing education to remain current and update skills and knowledge to meet the requirements of this standard of practice.
  4. All teaching personnel will have individualized professional development plans specific to their personal /professional goals.

#### Supervision, Quality Assurance and Evaluation Standards

1. Effective programs recognize that building and maintaining quality requires an ongoing and iterative process. Participants and their respective partners shall conduct ongoing, reflective practices that continuously assess the quality and effectiveness of the implementation of the pre-kindergarten program and the maintenance or improvement of their Quality First rating. In addition, community partner providers will join with their public school partners in the Early Childhood Quality Improvement Practices (ECQUIP) process.
2. Supervision of program personnel is conducted as a collaborative process with mechanisms that support them in challenging situations and provides ongoing and regularly scheduled (no less than monthly) opportunities for discussion to reflect and debrief. Supervision will also include observation, feedback, and opportunities for peer consultation.
3. Compensation and benefits are adequate to support the hiring and retention of highly skilled staff.

#### Intensity of Services Standard

Experts who study the effects of early childhood education on children's development have found several factors as critical in producing positive outcomes for young children. In addition to high staff-to-child ratios and well-qualified staff, programs found to be most effective are those that operate with significant intensity and duration both number of hours children attend in a day and the length of the program year(s).<sup>17</sup> To address this factor, those programs operating under this funding are required to enroll children for a minimum number of hours per day and for a minimum number of program days per year.

<sup>16</sup> National Standards on Culturally and Linguistically Appropriate Services (CLAS). (2001). U.S. Department of Health & Human Services, OPHS, Office of Minority Health.

<sup>17</sup> Bowman, B.T., Donovan, M. Suzanne, Burns, M. Susan (2001). Eager to Learn: Educating our Preschoolers. *National Academy Press (U.S.)*.

1. To ensure sufficient intensity and duration of program services, children may be enrolled in either a full day/full time or part day/part time services based on the following definitions and requirements:
  - Full day/full time services for children are defined as a minimum of 28 hours per week.
  - Part day/part time services are defined as less than 28 hours per week, or less than 10 days per month.
2. Program services must be provided for a minimum of 9 months per year, unless prorated for a late start-up.

#### Inclusion of Children with Special Needs

Early childhood inclusion in high quality early care and education programs focuses on access, participation and supports for all children, including children with special needs, defined here as: children with an Individualized Education Program (IEP), Individualized Family Service Plan (IFSP), or other professionally diagnosed educational disability; or a child with a 504 plan or individual health plan (IHP) or 504 Plan by a medical professional. Inclusion in early childhood education embodies the values, policies, and practices that support every child and his or her family, regardless of ability, to participate in a broad range of activities.... as full members of society.<sup>18</sup> Programs which receive Pre-Kindergarten Scholarships are highly encouraged to enroll children with special needs and model appropriate inclusive practices.

### **III. Implementation Standards**

#### Target Population

First Things First's Pre-kindergarten Scholarships will improve access and affordability to high quality early education programs for low-income children who are at least three years of age before September 1 of the program year and not yet enrolled in kindergarten. Low income is defined at 200% or less of the Federal Poverty Level (FPL). (Exceptions to the income eligibility are described on page 8.)

#### Mixed-Service Delivery Model

In order to promote optimal family choice, First Things First uses a mixed-service delivery model in the provision of high quality pre-kindergarten services. In a mixed-service delivery model, pre-kindergarten is accessed in a wide array of program types, including public school programs, private, for-profit or non-profit settings and Head Start programs. Full-time and part-time options are available to best meet the needs of the families and children. Not only are a variety of preschool programs eligible to apply for Pre-Kindergarten Scholarships, but successful applicants are required to partner in planning to assure services such as sensory and developmental screening, provide activities to promote family engagement, promote shared professional development and assure a smooth transition as children move from preschool into kindergarten programs.

#### Determination of Pre-kindergarten Provider Eligibility

Pre-kindergarten Scholarships improve both access and affordability to high quality early care and education. A designated administrative home has the responsibility for verifying the Quality First rating for each early childhood education program and monitoring to determine that additional quality and eligibility criteria for this strategy are met. Commitment to maintaining quality is achieved for this strategy through the following programmatic eligibility criteria:

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<sup>18</sup> Watson, Amy & McCathren, Rebecca (2009). Including Children with Special Needs. *Young Children*. Volume 64: 1-7.

1. Programs must be located within the Region funding the grant; exceptions may be made when there is mutual agreement between a First Things First Regional Council that agrees to pay for Pre-Kindergarten Scholarships in another Region.
2. Programs comply with requirements of the appropriate certifying, licensing or regulatory authority (State, Federal, Tribal or Military) and remain in good standing.
3. Programs participate in Quality First, either Full Participation or Rating Only based upon the following:
  - a. Programs receiving Pre-Kindergarten Scholarships prior to or during state fiscal year 2012 (July 1, 2011 – June 30, 2012) and enrolled in Quality First must achieve a star rating of 3-5 stars by April 1, 2013.
  - b. Programs receiving Pre-Kindergarten Scholarships prior to or during state fiscal year 2012 (July 1, 2011 – June 30, 2012) and not enrolled in Quality First until after July 1, 2012, must enroll in Quality First and achieve a star rating of 3-5 stars by April 1, 2013.
  - c. Programs newly awarded Pre-Kindergarten Scholarships in state fiscal year 2013 (July 1, 2012 – June 30, 2013) will be enrolled in Quality First to be rated and achieve a 3-5 star rating on or before April 1, 2013.

#### Children's Enrollment, Eligibility, and Attendance

Enrollment and eligibility requirements are intended to ensure that services provided with this grant funding increase access to high quality early care and education for children whose family incomes do not exceed 200% of the federal poverty level, with exceptions only allowed at the discretion of the First Things First Regional Council and with notification to the administrative home.

Programs are required to leverage funding, ensure non-duplication of services and conduct an effective enrollment process and documentation of the following:

1. Age Requirement: Children are at least three or four years of age (dependent on the regional funding guidance) before September 1 of the program year and are not yet enrolled in Kindergarten.
2. Financial Eligibility Requirements include:
  - a. Children may not be receiving duplicate programming through other funding available from State, Federal or Tribal sources such as: Department of Economic Security (DES) child care subsidy, Title I, Special Education Programs, or Head Start. Children eligible for these resources but who are currently on waiting lists for these programs are eligible to participate, AND
  - b. Family income must be at or below 200% of the Federal Poverty Level (FPL), with exceptions noted above. Verification of income eligibility must be obtained by the Pre-Kindergarten provider and maintained on site for at least two years.
    - i. Acceptable documentation of income may include any of the following: current pay stubs; written, notarized statement from employer; documentation of current receipt

of unemployment insurance; of documentation of receipt of public assistance such as KidsCare, Food Stamps, Free and Reduced Lunch Program, etc. Gross income as listed on the most current federal Individual Tax Form 1040, Form 1099, or W2 forms may also be used for documentation.

- ii. For those who are self employed, at least one of the tax forms is required.
3. Child's Legal Residency: Proof of the child's legal residency must be documented and maintained on file with the pre-kindergarten program.
4. Children's Attendance: Attendance policies must support consistency and ongoing participation. Programs must create and implement policies to determine when follow up on non-attendance is required, and the grantee will implement policies indicating when families may lose the scholarship due to children's non-attendance. These policies must be in writing and given to the families at time of enrollment. Programs must document all decisions regarding children's continued participation. Vacancies must be filled within 30 days.

#### Funding Requirements

Providing a full range of high quality pre-kindergarten experiences requires both appropriate funding levels and significant leveraging of multiple program resources. To ensure equity across the state so that all children have access to quality early care and education, a standard allocation rate has been established. These amounts have been determined to be fair and reasonable based on data collected through the Arizona Department of Education and national information on the cost of quality care.<sup>19</sup>

1. The funding formula will be allocated based on the service numbers awarded to each Pre-Kindergarten provider. Each provider must produce a budget for the actual cost of services. The formula cost per child will be based upon a program's star rating, geographical location and program size.
2. Under this strategy, children must be enrolled and attending school prior to or during the first quarter of the fiscal year (July 1 – October 1). Yearly start-up costs may be budgeted during this time period, but should be no more than 5% of the total allocation.
3. Programs must show evidence of leveraged funding at a minimum of 20% of the total cost of services. Funding may be leveraged through cash donations to the program or through in-kind contributions, must be fairly evaluated and may consist of, but are not limited to:
  - a. Building space and utilities
  - b. IDEA Part B funding
  - c. Title I targeted to support preschool programming
  - d. Tribal or Migrant funds
  - e. Child and Adult Food Care Program (CACFP)
  - f. Transportation costs
  - g. Family co-payments (not to exceed 10% of family income)
  - h. Other state, tribal or federal dollars targeted to support preschool programming
  - i. Donations or grants for preschool programming

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<sup>19</sup> Gault, Barbara, Mitchell, Anne W. & Williams, Erica with Judy Dey, & Olga Sorokina, (2008) Meaningful Investments in Pre-K: Estimating the Per-Child Costs of Quality Programs. *Institute for Women's Policy Research*.

4. Programs are expected to braid funding to provide services to the maximum number of children, but shall not supplant any current funding source and shall provide written assurance that the First Things First funding is not supplanting any currently existing funding.
5. Pre-kindergarten programs shall be free or as low-cost as possible to the eligible low-income families receiving the scholarships. If there is a co-payment, it is recommended that it not exceed 10% of the gross family income.

#### Family Engagement

Family members play a central role in a child's life. With this understanding, engaging in a two-way, reciprocal relationship with families is paramount to successful, comprehensive early care and education programming, as well as to the success of children throughout their education.<sup>20</sup> (See *Guidelines for High Quality Early Childhood Programs Birth to Kindergarten*.) A framework of six types of family involvement helps educators and families to develop more comprehensive school-family-community partnerships. The following are strategies which are expected to be employed by Pre-Kindergarten Scholarship recipient programs with a specific family engagement plan required for each site:

1. Parenting: assisting families with parenting skills and understanding their child's development
2. Communicating: having two-way communications with families about the early childhood program and their children's progress
3. Volunteering: offering a variety of opportunities for families to volunteer in ways that will support the early childhood program and their child's development
4. Learning at Home: involving families with expanding their children's learning within the home setting, especially using everyday routines
5. Decision-Making: including families as participants in programmatic decisions, governance and advocacy
6. Collaborating with Community: coordinating resources and services for families and children, as well as connecting with local businesses, agencies and other local groups

#### Kindergarten Transition

Families, community-based, private child care and preschool providers and public schools are critical to the development of a high quality early childhood education system for young children entering kindergarten. Effective coordination and collaboration among communities, schools and families is required for a successful transition program. Providers receiving funding through this strategy will participate in developing ongoing transition activities, as facilitated by the mentors and partnerships formed through this strategy

In order to maximize school readiness, comprehensive kindergarten transition plans and practices involve preparing children and their families for school entry. It is expected that Pre-Kindergarten Scholarship recipients will develop a kindergarten transition plan and implement strategies that involve children, families and elementary schools to support the following:

1. Child-school connections to increase children's familiarity with the new classroom and school setting and the people within it;
2. Family-school connections to increase collaboration and family involvement with the school and the transition process; and

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<sup>20</sup> Bowman, Barbara T. (2003). In D. Cryer & R.M. Clifford (Eds.), *Early Childhood Education and Care in the USA*. Baltimore: Paul H. Brookes Publishing Co.



3. School-school connections to provide children with stable classroom experiences across time and facilitate communication between preschool and kindergarten staff through regular meeting between Pre-Kindergarten and Kindergarten staff.<sup>21</sup>

### Collaborative Partnerships

The development of community partnerships among all elements of the early childhood education system, including public and private schools, early care and education centers, family child care homes and community providers of family supports, are essential to ensure ongoing support for children's readiness for success in kindergarten and throughout their education continuum. Pre-Kindergarten Scholarship programs are required to:

1. Collaborate to assure effective transitions from one program to another;
2. Partner to promote school readiness through appropriate child and family activities such as literacy and STEM (Science, Technology, Engineering and Math) events;
3. Partner to meet the requirements of this strategy, such as sensory and developmental screening;
4. Partner to provide professional development to both Pre-Kindergarten and Kindergarten teachers;
5. Implement parent education, parent activities and other community events; and
6. Schedule meetings between Pre-Kindergarten and Kindergarten teachers and administrators to promote mutual understanding and appropriate sharing of information about children who will be transitioning into Kindergarten.

## **IV. Cultural Competency Standards**

Programs will also implement the following best practices and standards related to Cultural Competency:

- To address cultural competency objectives, early childhood practitioners /early childhood service providers shall ensure that children and families receive from all staff members and program participants effective, understandable, and respectful care that is provided in a culturally competent manner. Early childhood practitioners /early childhood service providers should ensure that staff and participants at all levels and across all disciplines receive ongoing education and training in culturally and linguistically appropriate service delivery. Early childhood practitioners/early childhood service providers should develop participatory, collaborative partnerships with communities and utilize a variety of formal and informal mechanisms to facilitate community and family-centered involvement to ensure that services are delivered in a manner that is consistent with the National Standards on Culturally and Linguistically Appropriate Services and/or the National Recommendations on Cultural and Linguistic Competence for the National Association for the Education of Young Children.”  
<http://minorityhealth.hhs.gov/templates/browse.aspx?lvl=2&lvlID=15>  
<http://www.naeyc.org/positionstatements/linguistic>

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<sup>21</sup> Downer, J. (undated). **Successful Kindergarten Transitions: Developing a Community Action Plan** [PowerPoint slides]. Retrieved from Arizona Department of Education

- Service providers should understand that individual Tribes/Nations are distinct and separate communities from other Tribes/Nations and their governmental systems, and structures are not reflective of each other. Services to Tribal communities and on reservations must be provided in a manner compatible with the Tribe's/Nation's cultural beliefs and practices, to include the preferred language of the community. Services must also be provided in accordance with the Tribe's/Nation's laws, policies and procedures. The effectiveness of services is directly related to the provider's consideration of the beliefs, customs and laws of the Tribe/Nation.
- Service providers can obtain information about providing services on tribal lands from a variety of sources. These include the FTF Regional Director, Regional Council members, tribal websites and publications, as well as official representatives of the Tribe/Nation such as the governing body, standing committees and authorized departments.
- It is highly recommended that service providers seek guidance from one or more of these sources before initiating services on reservations. Failure to do so could result in contraventions of cultural beliefs, Tribal laws or sovereignty.
- The successful Applicant will demonstrate their ability to operate within these parameters through prior experience working with Tribes/Nations, demonstrating that staff are culturally competent, partnerships with agencies serving Native American families, knowledge of cultural beliefs, customs and laws of the Tribe/Nation or a combination of these elements.
- Related to data collection, evaluation or research activities:
  - In the United States, Native American Tribes are considered autonomous nations with all of the rights and responsibilities of a nation. Understanding this, Native American Tribes are charged with protecting the health and safety of their people. To this end, Tribes have full ownership over any data collected within their reservation boundaries. This means that Tribes can allow or not allow any program to collect data from or related to any early childhood development and health program or activities on the reservation.
  - Any grantee implementing programs in tribal communities must have official tribal permission to collect and utilize sensitive data from or related to any early childhood development and health program or activities.

## **Exhibit E**

### **Quality First Child Care Scholarship Target Number of Scholarships by Star Rating and Program Size and Reimbursement Percentage by Star Rating**

Star Levels	% Median Rate Paid	Maximum Number of Scholarships in Quality First Package			
		Large Center	Medium Center	Small Center	Home
1	75%	9	6	4	1
2	75%	10	7	5	2
3	85%	12	9	6	2
4	100%	15	11	8	3
5	110%	17	12	9	4

**\*\*The table indicates an “Up to” amount. Numbers of scholarships may vary depending on:**

- the age of the children enrolled (rate for an infant is higher than the rate for a preschooler)
- the Median Market Rate in a particular region (rates vary across the state)

**Exhibit F****Budget Summary**

<b>Overall Scholarship Budget Summary</b>	
<b>Available Award Amounts</b>	<b>\$54,267,426.00</b>
Quality First Child Care Scholarships	\$43,427,441.00
Quality First Child Care Scholarship Administration	\$1,042,255.00
Pre-Kindergarten Scholarships	\$9,472,885.00
Pre-Kindergarten Scholarships Administration	\$324,845.00
<b>TOTAL AVAILABLE FUNDS</b>	<b>\$54,267,426.00</b>

**Exhibit G****Quality First Child Care Scholarship Allotment by Region**

<b>Quality First Child Care Scholarship Program – Direct Scholarship Dollars</b>			<b>Total Available: \$43,427,441</b>
<b>Quality First Child Care Scholarship Program – Administration Dollars</b>			<b>Total Available: \$1,042,255</b>
<b>Central Maricopa Regional Partnership Council</b>			
Number of Funded Scholarship Sites • 36 centers / 5 homes	Estimated Number of Scholarships • Approximately 356	Special Considerations • 17 of the 356 scholarships are designated for the Teen Parent Program.	Scholarship Funds \$2,440,410
<b>Central Phoenix Regional Partnership Council</b>			
Number of Funded Scholarship Sites • 73 centers / 4 homes	Estimated Number of Scholarships • Approximately 666	Special Considerations • None	Scholarship Funds \$4,490,120
<b>Central Pima Regional Partnership Council</b>			
Number of Funded Scholarship Sites • 55 centers / 24 homes	Estimated Number of Scholarships • Approximately 446	Special Considerations • None	Scholarship Funds \$2,575,697
<b>Cochise Regional Partnership Council</b>			
Number of Funded Scholarship Sites • 22 centers / 21 homes	Estimated Number of Scholarships • Approximately 329	Special Considerations • The scholarship target numbers can be tripled for all centers in this region. An amendment to the funding and target number of scholarships will be issued after the contact start date to accommodate tripling.	Scholarship Funds \$1,553,706
<b>Coconino Regional Partnership Council</b>			
Number of Funded Scholarship Sites • 18 centers / 8 homes	Estimated Number of Scholarships • Approximately 128	Special Considerations • None	Scholarship Funds \$627,977
<b>Colorado River Indian Tribes Regional Partnership Council</b>			
Number of Funded Scholarship Sites • 1 centers / 1 homes	Estimated Number of Scholarships • Approximately 22	Special Considerations • Approximately 20 scholarships for the center-based provider and approximately 2 scholarships for the home-based provider	Scholarship Funds \$100,176

Gila Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>6 centers / 3 homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 45</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>None</li> </ul>	Scholarship Funds \$253,428
Gila River Indian Community Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>3 centers / 0 homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 65 + 8 funded from South Phoenix for a total of 73</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>Blackwater – \$100,000.00 equally distributed over 10 months for 20 children.</li> <li>Gila Crossing - \$100,000.00 equally distributed over 10 months for 20 children paid by Gila River Indian Community Regional Partnership Council. An additional \$50,000.00 equally distributed over 10 months for 10 children paid by South Phoenix Regional Partnership Council. Total monthly payment will be \$15,000 paid for 10 months.</li> <li>Early Education Center –\$151,441 equally distributed over 12 months for 25 children.</li> </ul>	Scholarship Funds \$343,204
Graham/Greenlee Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>5 centers / 3 homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 70</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>The scholarship target numbers can be tripled for all providers in this region. An amendment to the funding and target number of scholarships will be issued after the contact start date to accommodate tripling.</li> </ul>	Scholarship Funds \$340,829
La Paz/Mohave Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>9 centers / 1 home</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 78</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>The scholarship target numbers can be tripled for all providers in this region. An amendment to the funding and target number of scholarships will be issued after the contact start date to accommodate tripling.</li> </ul>	Scholarship Funds \$338,841

Navajo Nation Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>6 centers / 0 homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 192</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>50 of the 192 scholarships are for the children of students temporarily living off the Navajo Nation Reservation.</li> <li>142 scholarships represent approximately double the target number of scholarships per site.</li> </ul>	Scholarship Funds \$1,276,089
Navajo Apache Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>3 centers / 1 home</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 32</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>11 of the 32 scholarships are additional scholarships that have been funded to maintain the continuity of children already in scholarships as much as possible.</li> </ul>	Scholarship Funds \$152,810
North Phoenix Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>81 centers / 11 homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 845</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>64 of the 845 scholarships are for the Teen Parent Program.</li> <li>54 of the 845 scholarships are additional scholarships that have been funded to maintain the continuity of children already in scholarships as much as possible.</li> </ul>	Scholarship Funds \$5,743,976
North Pima Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>27 centers / 5 homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 223</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>None</li> </ul>	Scholarship Funds \$1,359,053
Northeast Maricopa Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>20 centers / 0 homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 164</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>None</li> </ul>	Scholarship Funds \$1,112,120
Northwest Maricopa Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>58 centers / 10 homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 508</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>None</li> </ul>	Scholarship Funds \$3,486,062
Pascua Yaqui Tribe Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>1 center / 2homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 20</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>Johnson Elementary receives exactly 16 scholarships for 10 months at the preschool age band.</li> </ul>	Scholarship Funds \$127,473

Pinal Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>36 centers / 11 homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 416</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>135 of the 416 scholarships are additional scholarships that have been funded to maintain the continuity of children already in scholarships as much as possible.</li> </ul>	Scholarship Funds \$2,637,932
Santa Cruz Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>3 centers / 4 homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 31</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>None</li> </ul>	Scholarship Funds \$141,841
South Phoenix Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>69 centers / 28 homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 825</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>190 of 825 scholarships are additional scholarships that have been funded to maintain the continuity of children already in scholarships as much as possible.</li> <li>\$50,000 of the total \$5,683,292 allocation is funding for Gila Crossing in the Gila River Indian Community Region (detailed out in that region's Special Considerations notes above).</li> </ul>	Scholarship Funds \$5,550,089
South Pima Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>33 centers / 51 homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 377</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>PYT funded scholarships?</li> </ul>	Scholarship Funds \$2,171,566
Southeast Maricopa Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>44 centers / 9 homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 397</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>None</li> </ul>	Scholarship Funds \$2,764,634
Southwest Maricopa Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>20 centers / 4 homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 204</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>24 of 204 scholarships are additional scholarships that have been funded to maintain the continuity of children already in scholarships as much as possible.</li> </ul>	Scholarship Funds \$1,328,891



White Mountain Apache Tribe Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>2 centers / 0 homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 25</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>7 of the 25 scholarships are additional scholarships that have been funded to maintain the continuity of children already in scholarships as much as possible.</li> </ul>	Scholarship Funds \$121,946
Yavapai Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>33 centers / 4 homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 254</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>None</li> </ul>	Scholarship Funds \$1,252,019
Yuma Regional Partnership Council			
Number of Funded Scholarship Sites <ul style="list-style-type: none"> <li>19 centers / 20 homes</li> </ul>	Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 261</li> </ul>	Special Considerations <ul style="list-style-type: none"> <li>80 of the 261 scholarships are additional scholarships that have been funded to maintain the continuity of children already in scholarships as much as possible.</li> </ul>	Scholarship Funds \$1,136,552

## **Exhibit H**

### **Pre-Kindergarten Scholarships Allotment by Region**

Pre-Kindergarten Scholarship Program – Direct Scholarship Dollars		Total Available: \$9,472,885.00
Pre-Kindergarten Scholarship Program – Administration Dollars		Total Available: \$324,845.00
Central Maricopa Regional Partnership Council		
Estimated Number of Scholarships <ul style="list-style-type: none"><li>Approximately 140</li></ul>	Scholarship Funds \$915,484	
Central Pima Regional Partnership Council		
Estimated Number of Scholarships <ul style="list-style-type: none"><li>Approximately 107</li></ul>	Scholarship Funds \$696,422	
La Paz/Mohave Regional Partnership Council		
Estimated Number of Scholarships <ul style="list-style-type: none"><li>Approximately 183</li></ul>	Scholarship Funds \$1,305,457	
Navajo Nation Regional Partnership Council		
Estimated Number of Scholarships <ul style="list-style-type: none"><li>Approximately 66</li></ul>	Scholarship Funds \$431,586	
North Phoenix Regional Partnership Council		
Estimated Number of Scholarships <ul style="list-style-type: none"><li>Approximately 20</li></ul>	Scholarship Funds \$130,783	
Northeast Maricopa Regional Partnership Council		
Estimated Number of Scholarships <ul style="list-style-type: none"><li>Approximately 72</li></ul>	Scholarship Funds \$467,552	
Northwest Maricopa Regional Partnership Council		
Estimated Number of Scholarships <ul style="list-style-type: none"><li>Approximately 295</li></ul>	Scholarship Funds \$1,929,057	
South Phoenix Regional Partnership Council		
Estimated Number of Scholarships <ul style="list-style-type: none"><li>Approximately 164</li></ul>	Scholarship Funds \$1,072,424	

South Pima Regional Partnership Council	
Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 72</li> </ul>	Scholarship Funds \$470,820
Southeast Maricopa Regional Partnership Council	
Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 174</li> </ul>	Scholarship Funds \$1,137,816
Yuma Regional Partnership Council	
Estimated Number of Scholarships <ul style="list-style-type: none"> <li>Approximately 140</li> </ul>	Scholarship Funds \$915,484

**Exhibit I****DES Market Survey Data -- 2010 Median Market Rate**

Full Time - Based on 250 Days a Year

	Daily			Annual		
	Center	Family	Group Home	Center	Family	Group Home
Dist1						
0 and <1	40.80	20.00	28.00	10,200.00	5,000.00	7,000.00
1 and <3	36.74	20.00	26.00	9,185.00	5,000.00	6,500.00
3 and <6	32.00	20.00	25.00	8,000.00	5,000.00	6,250.00
Dist2						
0 and <1	36.80	23.00	25.00	9,200.00	5,750.00	6,250.00
1 and <3	30.23	23.00	25.00	7,557.50	5,750.00	6,250.00
3 and <6	29.00	22.00	25.00	7,250.00	5,500.00	6,250.00
Dist3						
0 and <1	30.00	21.00	30.00	7,500.00	5,250.00	7,500.00
1 and <3	25.00	20.00	26.00	6,250.00	5,000.00	6,500.00
3 and <6	24.00	20.00	26.00	6,000.00	5,000.00	6,500.00
Dist4						
0 and <1	26.00	20.00	23.00	6,500.00	5,000.00	5,750.00
1 and <3	23.00	20.00	22.00	5,750.00	5,000.00	5,500.00
3 and <6	22.00	20.00	20.00	5,500.00	5,000.00	5,000.00
Dist5						
0 and <1	42.50	25.00	29.00	10,625.00	6,250.00	7,250.00
1 and <3	37.50	25.00	26.50	9,375.00	6,250.00	6,625.00
3 and <6	27.50	25.00	25.00	6,875.00	6,250.00	6,250.00

Dist6

0 and <1	29.40	24.00	21.00	7,350.00	6,000.00	5,250.00
1 and <3	25.00	24.00	21.00	6,250.00	6,000.00	5,250.00
3 and <6	23.95	22.00	21.00	5,987.50	5,500.00	5,250.00

## **Exhibit J**

### **Standard Terms Defined**

As used in these Instructions, Special Terms and Conditions and Uniform Terms and Conditions, the terms listed below are defined as follows:

1. *"Application"* means bid, proposal, quotation or what is submitted in response to an RFGA.
2. *"Applicant"* means a person who responds to a RFGA.
3. *"Attachment"* means any item the RFGA that requires an Applicant to submit as part of the Application.
4. *"Contract"* means the combination of the RFGA, including the Instructions to Applicants, The Uniform and Special Terms and Conditions, and the Specifications and Statement of Scope of Work; the Application and any Application Clarifications; and any RFGA Amendments or Contract Amendments.
5. *"Contract Amendment"* means a written document signed by the Fiscal and Contracts Specialist that is issued for making changes in the Contract.
6. *"Days"* means calendar days unless otherwise specified.
7. *"Exhibit"* means any item labeled as an Exhibit in the RFGA or placed in the Exhibits section of the RFGA. Exhibits are typically resource materials.
8. *"Grantee"* means any Applicant whose Application has been accepted and has been awarded a Grant with First Things First.
9. *"Fiscal and Contracts Specialist"* means the person, or his or her designee, duly authorized by First Things First to enter into and administer Contracts and make written determinations with respect to the Contract.
10. *"May"* indicates something that is not mandatory but permissible
11. *"RFGA"* means an a Request for Grant Application
12. *"RFGA Amendment"* means a written document that is signed by the Fiscal and Contracts Specialist and issued for making changes to the RFGA.
13. *"Shall, Must"* indicates a mandatory requirement. Failure to meet these mandatory requirements may result in the rejection of an offer.
14. *"Should"* indicates something that is recommended but not mandatory. If the Applicant fails to provide recommended information, the State will evaluate the offer without the information but reserves the right to clarify the recommended information.
15. *"State"* means the State of Arizona, Early Childhood Development and Health Board also known as First Things First who executes the Contract.
16. *"State Fiscal Year"* means the period beginning with July 1 and ending June 30.
17. *"Subcontract"* means any Contract, express or implied, between the Grantee and another party delegating or assigning, in whole or in part, the furnishing of any service required for the performance of the Contract.

**Exhibit K****Sample Certificate of Insurance**

Prior to commencing services under this contract, the Grantee must furnish the state certification from insurer(s) for coverages in the minimum amounts as stated below. The coverages shall be maintained in full force and effect during the term of this contract and shall not serve to limit any liabilities or any other Grantee obligations.

Name and Address of Insurance Agency:		Company Letter:	Companies Affording Coverage:		
		A			
		B			
Name and Address of Insured:		C			
		D			
LIMITS OF LIABILITY MINIMUM - EACH OCCURRENCE		COMPANY LETTER	TYPE OF INSURANCE	POLICY NUMBER	DATE POLICY EXPIRES
Bodily Injury Per Person Each Occurrence Property Damage OR Bodily Injury and Property Damage Combined			Comprehensive General Liability Form Premises Operations Contractual Independent Contractors Products/Completed Operations Hazard Personal Injury Broad Form Property Damage Explosion & Collapse (If Applicable) Underground Hazard (If Applicable)		
Same as Above			Comprehensive Auto Liability Including Non-Owned (If Applicable)		
Necessary if underlying is not above minimum			Umbrella Liability		
Statutory Limits			Workmen's Compensation and Employer's Liability		
			Other		

State of Arizona and the Department named above are added as additional insureds as required by statute, contract, purchase order, or otherwise requested. It is agreed that any insurance available to the named insured shall be primary of other sources that may be available.

It is further agreed that no policy shall expire, be canceled or materially changed to affect the coverage available to the state without thirty- (30) days written notice to the State. This Certificate is not valid unless countersigned by an authorized representative of the insurance company.

Name and Address of Certificate Holder:

\_\_\_\_\_  
\_\_\_\_\_

Date Issued: \_\_\_\_\_

Authorized Representative: \_\_\_\_\_

## **Exhibit L**

### **Target Service Unit Guidance Document**

#### **Quality First**

##### **Definitions:**

##### **Unit of Service and related Target Service Number**

A Unit of Service is a FTF designated indicator of performance specific to each FTF strategy. It is composed of a unit of measure and a number (Target Service Number).

A Unit of Measure/Service can be a target population and/or a service/product that a grantee is expected to serve as part of an agreement. Target Service Number represents the number of units (e.g. target population) proposed to be served or number of products/services proposed to be delivered during the contract year.

For example, for the FTF strategy Home Visitation the FTF Unit of Service is “number of families served” and a Target Service Number of 50 represents the number of families the program proposes to serve during the contract period. All FTF applicants must clearly state in the proposal a target service number for each strategy specific Unit of Service.

NOTE: **Quality First** is a First Things First administered program. Because of the scope and complexity of the program, there are multiple contracted grantees implementing different portions of the program. The following measurement information is related to the Quality First program overall. Units of service, performance measures, and reporting requirements for Quality First contractors are NOT presented here.

For **Quality First**, the units of service are:

**Number of home based providers served**  
**Number of center based providers served**

##### **Determining and Interpreting Target Service Numbers**

**Please note:** Quality First is a First Things First directed strategy. Units of Service, Target Service Numbers and Performance Measures found here are for Council and Board planning rather than assessment and targeting for FTF subcontractors.

**Number of home based providers served** should reflect the total number of home based early care and education providers who are targeted and funded to be enrolled in Quality First for one grant contract period (in most cases, one year).

**Number of center based providers served** should reflect the total number of center based early care and education providers who are targeted and funded to be enrolled in Quality First for one grant contract period (in most cases, one year).



## **Exhibit M**

### **First Things First - Arizona Early Childhood Development and Health Board Data Security Guidelines and Requirements for Collaborators**

#### **BACKGROUND:**

The purpose of the Arizona Early Childhood Development and Health Board (First Things First - FTF) is to aid in the creation of a system that offers opportunities and support for families and communities in the development of all children, so they can grow up healthy and ready to succeed. Our work is accountable and transparent to decision-makers and the citizens of Arizona. Collaboration and direct funding of grantees to undertake work on behalf of the children and families of Arizona is fundamental to the purpose and mission of FTF. Regular submission of data related to funded work is an important part of ensuring accountability and maximum positive impact for young children, as well as a material condition of receiving FTF grant funding.

#### **Data Security Guidelines for Data Submission to FTF**

First Things First will ensure that resources allocated have maximum impact for the benefit of children and families. To ensure this accountability, FTF has established data reporting requirements for all state and regional grantees. All funded providers shall regularly submit programmatic and financial reports as identified in the FTF reporting requirements.

FTF data submissions are classified in one of three levels:

- **Public data**
- **Limited distribution data**
- **Confidential data**

The majority of FTF reporting submissions are completed through the FTF Partner Grant Management System (PGMS). Subsequent to the award of an FTF grant, the grantee will receive general training on login and navigation within the PGMS system. With this login, the grantee will be able to manage their contract information. An additional training on strategy-specific data submission requirements will also be conducted. During that training, the grantee will be informed on submission of data reporting requirements through PGMS. All data submitted through PGMS is **public data** or **limited distribution data**. Because PGMS is located in a secure extranet environment, grantees using PGMS for data submission are not required to undertake additional security measures related to their data submission above those identified in the general and data submission orientations (password and login security, guidelines for upload of narrative and other reports).

A small group of grantees submit data requirements, with an agreement between the grantee and FTF, through an established secure web service or FTP (File Transfer Protocol) site via the internet, rather than a PGMS web-based entry form. Such data is likely to contain limited distribution data and shall adhere to the following protocols. Grantees that submit data through the secure web service must submit data within the established data structures and format; follow all login procedures; submit a formal data change request form if needed; and ensure that limited distribution data may not be intercepted or viewed at any time by parties other than the grantee and FTF. Additionally, the grantee

must ensure that throughout the reporting and submission process the data is secured, and that any confidential data is de-identified and/or encrypted.

Any grantee submitting data identified as confidential must file a formal data security policy with FTF.

#### Data Security Guidelines for Grantee Maintenance of Data

In order to submit data to FTF in fulfillment of reporting requirements, grantees shall keep all data collected for their program(s) within their system (database) or hardcopies. Grantee data is likely to contain highly sensitive information on individuals, their education and their health. These guidelines and requirements are for the maintenance of those data.

All grantees must have a data security policy in force that identifies how the organization ensures that data is protected in all its forms, during all phases of its life cycle, from inappropriate access, use, modification, disclosure, or destruction.

All grantees subject to HIPAA, FERPA, GITA, tribal law, or other data regulation, are required to submit and maintain those approvals for all data.

#### Data Permission Guidelines for Grantee Data

All grantees must be prepared for FTF review of client-level data (e.g. child-level, teacher-level, or early care and education provider-level) during on-site visits. Additionally, FTF data reporting requirements may include submission of client-level data (e.g. child-level, teacher-level, or early care and education provider-level). The grantee agrees to allow FTF to access such data. Should the data be subject to HIPAA, the grantee agrees to enter into FTF's HIPAA Business Associate Agreement.

To inform clients of FTF's reporting requirements, all grantees must include in their client enrollment forms the statement: "To comply with reporting requirements of the funding source, I grant permission to [insert grantee organizational name] to release background, service, and impact related information to the Arizona Early Childhood Development and Health Board, also known as First Things First." The grantee warrants to FTF that prior to entering into the grant agreement for FTF funding, it has appropriately enquired and satisfied itself that it has the ability and authority comply with the requirements of this section.

#### Grantees Serving Clients on Tribal Lands

First Things First honors tribal ownership of data and recognizes communication is necessary with Arizona Tribes to determine what process/protocol is needed to obtain data. FTF further recognizes Arizona Tribes as owners of their indigenous knowledge, cultural resources and intellectual property. To this end, it is imperative that all appropriate tribal approvals for data collection and submission to FTF must be obtained and kept on-file by the grantee and FTF for granting serving clients on tribal lands.

#### Compliance with Data Security Guidelines

The grantee acknowledges that failure to comply with any requirement of these Data Security Guidelines shall be a material breach of the grant agreement.

**END OF REQUEST FOR GRANT  
APPLICATION**

**FTF-STATE-14-0440-00**